

## Agenda

**Meeting: Corporate and Partnerships  
Overview & Scrutiny Committee**

**Venue: Brierley Room, County Hall, Northallerton  
DL7 8AD**

**Date: Monday 2 March 2020 at 10.30 am**

Recording is allowed at County Council, committee and sub-committee meetings which are open to the public, please give due regard to the Council's protocol on audio/visual recording and photography at public meetings, a copy of which is available to download below. Anyone wishing to record is asked to contact, prior to the start of the meeting, the Officer whose details are at the foot of the first page of the Agenda. We ask that any recording is clearly visible to anyone at the meeting and that it is non-disruptive. <http://democracy.northyorks.gov.uk>

### Business

1. **Minutes of the meeting held on 2 December 2019** (Pages 5 to 12)
2. **Apologies & Declarations of Interest**
3. **Public Questions or Statements**

Members of the public may ask questions or make statements at this meeting if they have given notice to Ray Busby (*contact details below*) no later than midday on Wednesday 26 February 2020. Each speaker should limit themselves to 3 minutes on any item. Members of the public who have given notice will be invited to speak:

- at this point in the meeting if their questions/statements relate to matters which are not otherwise on the Agenda (subject to an overall time limit of 30 minutes);
- when the relevant Agenda item is being considered if they wish to speak on a matter which is on the Agenda for this meeting.

**4. Attendance of the Police, Fire & Crime Commissioner (Pages 13 to 60)**

Purpose of Attendance – To provide a ‘one year on’ progress update & overview of activity since the Transfer of Governance from North Yorkshire Fire Authority to the North Yorkshire Police, Fire & Crime Commissioner

**5. North Yorkshire Syrian Refugee Settlement Programme – Jonathan Spencer, Project Manager – North Yorkshire Refugee Resettlement (Pages 61 to 80)**

Purpose - To provide a progress update on the resettlement in North Yorkshire of Syrian Vulnerable Persons (SVP) and persons being resettled under the Vulnerable Children's Resettlement Scheme (VCRS).

**6. Annual Workforce Plan – Justine Brooksbank, Assistant Director Strategic Resources (Pages 81 to 94)**

Purpose of the Report – To provide an update on the County Council's changing workforce and progress on the Workforce Plan, and to set out some key priorities for the year ahead

**7. NYCC Corporate Risk Register – Fiona Sowerby, Corporate Risk & Insurance Manager (Pages 95 to 118)**

Purpose of the Report – To receive information on the updated Corporate Risk Register

**8. Insurance Claims Analysis Report – Fiona Sowerby, Corporate Risk & Insurance Manager (Pages 119 to 128)**

Purpose of the Report – To provide an overview of motor and liability insurance claims experience and an analysis of and costings for public liability claims

**9. Members' Dashboard – Nigel Smith, Head of Highway Operations**

Purpose – To provide a verbal update on ongoing work to develop an online tool for Members

**10. Work Programme 2020/21 – Melanie Carr, Principal Democratic Services and Scrutiny Officer (Pages 129 to 134)**

Purpose of the Report – To consider, amend and adopt the committee's draft work programme for the coming municipal year.

**11. Other business which the Chairman agrees should be considered as a matter of urgency because of special circumstances.**

Barry Khan  
Assistant Chief Executive (Legal and Democratic Services)  
County Hall  
Northallerton  
Date: 20 February 2020

**NOTES:**

- (a) Members are reminded of the need to consider whether they have any interests to declare on any of the items on this agenda and, if so, of the need to explain the reason(s) why they have any interest when making a declaration.

The relevant Corporate Development Officer or Monitoring Officer will be pleased to advise on interest issues. Ideally their views should be sought as soon as possible and preferably prior to the day of the meeting, so that time is available to explore adequately any issues that might arise.

- (b) **Emergency Procedures for Meetings**

**Fire**

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Persons should not re-enter the building until authorised to do so by the Fire and Rescue Service or the Emergency Co-ordinator.

An intermittent alarm indicates an emergency in nearby building. It is not necessary to evacuate the building but you should be ready for instructions from the Fire Warden.

**Accident or Illness**

First Aid treatment can be obtained by telephoning Extension 7575.

# Committee Membership

	<b>Councillors Name</b>	<b>Chairman/Vice Chairman</b>	<b>Political Group</b>	<b>Electoral Division</b>
1	ARNOLD, Val		Conservative	Kirkbymoorside
2	ATKINSON, Margaret		Conservative	Masham and Fountains
3	BASTIMAN, Derek	Chairman	Conservative	Scalby and the Coast
4	GOODRICK, Caroline		Conservative	Hovingham and Sheriff Hutton
5	GRIFFITHS, Bryn	Vice-Chair	Liberal Democrat	Stokesley
6	JORDAN, Mike		NY Independents	South Selby
7	MUSGRAVE, Richard		Conservative	Escrick
8	PARASKOS, Andy		Conservative	Ainsty
9	PEACOCK, Yvonne		Conservative	Upper Dales
10	RANDERSON, Tony		Labour	Eastfield and Osgodby
11	THOMPSON, Angus		Conservative	Richmondshire North
12	TROTTER, Cliff		Conservative	Pannal and Lower Wharfedale
13	WILKINSON, Annabel		Conservative	Swale

**Total Membership – (13)**

**Quorum – (4)**

Con	Lib Dem	NY Ind	Labour	Ind	Total
10	1	1	1	0	13

## 2. Substitute Members

<b>Conservative</b>		<b>Liberal Democrat</b>	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1	CHAMBERS, Mike MBE	1	WEBBER, Geoff
2	ENNIS, John	2	
3	PATMORE, Caroline	3	
4	LUNN, Cliff	4	
5	JENKINSON, Andrew	5	
<b>NY Independents</b>		<b>Labour</b>	
	<i>Councillors Names</i>		<i>Councillors Names</i>
1		1	DUCKETT, Stephanie
2		2	
3		3	
4		4	
5		5	

## North Yorkshire County Council

### Corporate and Partnership Overview and Scrutiny Committee

Minutes of the meeting held on Monday 2 December 2019 at 10.00am at County Hall, Northallerton.

**Present:-**

County Councillor Derek Bastiman in the Chair

County Councillors Val Arnold, Margaret Atkinson, Caroline Goodrick, Bryn Griffiths, Richard Musgrave, Andy Paraskos, Yvonne Peacock, Tony Randerson, Cliff Trotter and Annabel Wilkinson.

North Yorkshire County Council Officers: Robert Ling (Assistant Director Technology & Change); Sarah Foley (Customer Services Centre Manager); Karen Iveson (Assistant Director Strategic Resources); Odette Robson (Head of Safer Communities); Jon Holden (Head of Property Services); Vicki Dixon (Head of Finance); Gary Fielding (Corporate Director Strategic Resources); Steve Evans (Head of Strategy & Performance); Louise Rideout (Senior Strategy & Performance Officer) and Melanie Carr (Principal Democratic Services & Scrutiny Officer).

Apologies for Absence were received from County Councillor Angus Thompson and Dr Justin Ives (Chair of the Community Safety Partnership)

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**Copies of all documents considered are in the Minute Book**

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**106. Minutes**

**Resolved –**

That the Minutes of the meeting held on 2 September 2019 having been printed and circulated, be taken as read and be confirmed and signed by the Chairman as a correct record.

**107. Declaration of Interest**

There were no declarations of interest to note.

**108. Public Questions or Statements**

The committee was advised that no notice had been received of any public questions or statements to be made at the meeting.

**109. Attendance of the Police, Fire & Crime Commissioner**

The Chair informed Committee members that he had taken the decision in consultation with the Leader to defer the attendance of the Police, Fire & Crime Commissioner until after the purdah period.

**Resolved –**

That the attendance of the Police Fire & Crime Commissioner be deferred to the next formal meeting of the Corporate & Partnerships Overview & Scrutiny Committee in March 2020.

#### 110. Update on the Operation of the Customer Portal

##### Considered –

A presentation on the use of the customer portal and the ongoing work to encourage a channel shift to online services.

Robert Ling (Assistant Director Technology & Change) provided an in depth presentation on the Customer Portal, providing up to date statistics on the numbers of customers now using the County Council's online services. He also provided information on the methods used to support and encourage that channel shift and the ongoing work to identify reasons why some residents were still choosing to contact Customer Services by telephone. In particular, he highlighted:

- The growing focus on the lack of skills of those who have online access but are unable to use it.
- The recent introduction of a new Commercial Vehicle Permit online service
- An ongoing campaign working with NYCC's communication team, to inform residents of the delay in street lights adjusting to the clock change, in an effort to reduce the number of related calls received.
- The ongoing work to monitor issues with webpages and links to services in order to identify where improvements were required
- The number of frontline calls was lower than last year but the average call handling time was going up, in line with the more complex nature of the enquiries being dealt with over the phone
- Work was ongoing to replace pdf forms with online forms
- HAS related call handling times were reducing as staff became more knowledgeable about the questions likely to be asked
- Understanding why calls were deflected was helpful
- New online services to come included, booking a wedding service and reporting of PROW related issues

In regards to arranging an appointment with the nearest available registrar to register a death, Members discussed ways of promoting the online facility, recognising it was a difficult time for residents. Members suggested promotion through Hospitals, Funeral Directors, Doctors Surgeries, and Solicitors. County Councillor Andy Paraskos, Older People's Champion agreed it could also be promoted through 'Dying Cafes' and Care Homes.

Robert Ling stressed that for those who do not want to access services online for whatever reason, there would always be a telephone service available.

Finally, Sarah Foley confirmed that the delivery of customer services was being reviewed and refined all the time based on customer feedback.

##### Resolved – That:

- i. The report be noted
- ii. A further update be provided in 12 months' time

**111. Year 2 Review of NYCC's Alternative Investments****Considered**

An update on progress with the delivery of the County Council's alternative investment framework.

Karen Iveson, Assistant Director for Strategic Resources introduced the report which provided background to the introduction of the framework in 2017, and an update on activity during its second year of implementation.

The report highlighted the categories under which opportunities for investment fell, the limit set on the sums for investment and the targets set on returns so that appropriate assessment of the risks and rewards could take place.

It was noted that unlike other local authorities, North Yorkshire County Council had chosen not to borrow to invest and had instead chosen to invest its cash balances, resulting in estimated annual revenue savings/income of £2.5m.

In regard to commercial property, Members noted the ongoing work to identify an appropriate tenant for the County Council's vacant unit at Harrogate Royal Baths, and the work underway to understand the potential for investment in a solar farm. They agreed that as it fitted with the County Council's commitment to reduce its carbon footprint, the opportunity for a solar farm should not be missed.

Gary Fielding suggested it was a good example of where an investment option might be considered on the basis of it being a policy issue even though there may not be a strong business case for pursuing it.

Karen Iveson confirmed the County Council had previously considered the option 3 / 4 years before but it had not proved viable. However, it might prove viable now based on a reduction in the cost of delivery, but it would require identification of the right type of land in the right location. County Councillor Derek Bastiman requested an update report on the solar form option in the near future.

In regard to housing loans, County Councillor Yvonne Peacock asked what more could be done to encourage Social Landlords to take up the available funding, and it was confirmed that Housing Associations were awash with funding and therefore not interested in the scale of funding the County Council was able to offer.

County Councillor queried whether the loans to NYCC companies were delivering the right returns and it was confirmed that the agreed high level decision framework had been applied in each case.

Finally, Karen Iveson confirmed it was not possible to benchmark NYCC's commercial investments against other Local Authorities, as others had borrowed to invest whereas NYCC had not.

**Resolved – That:**

- The progress to date be noted
- An update on the Solar Farm option be provided in due course.

**112. Bi-annual Update on the work of the Community Safety Partnership****Considered -**

A presentation on the work of the Community Safety Partnership during the last six months, detailing the first Domestic Homicide Review undertaken by the county wide CSP.

Odette Robson, Head of Safer Communities provided an overview of the national picture relating to domestic abuse and domestic homicide and gave an insight into the statistics provided

It was noted that some statistics associated with Domestic Homicide were often forgotten e.g. 25% of the victims were men, and that whilst public awareness of knife crime was rising, the national awareness of the links between domestic homicides and knife crime appeared low.

In regard to intimate partner homicides, Members noted the themes coming out of the national data, and the link to mental health. Members questioned whether there were appropriate resources available to address that key cause and it was confirmed the Health & Wellbeing Board were the appropriate body to investigate that link.

Odette Robson confirmed that NYCC commissioned IDAS to provide community based Domestic Abuse Services for victims. She went on to detail the recent Domestic Homicide Review undertaken by North Yorkshire CSP, being careful not to share any personal information through the use of aliases etc. The case highlighted the multi-agency approach, and it was confirmed that:

- AADFA (National Charity) provided independent support to the family through the review process
- The family were involved throughout the process and were encouraged to review/input into the final report
- Four Multi Agency Risk Assessment Conferences (MARAC) took place – A victim focused information sharing and risk management meeting attended by all key agencies
- A wide range of practitioners and professionals had encouraged the victim to leave the relationship

Finally, Odette Robson highlighted the actions arising from the Review and confirmed:

- The excellent working relationship between the relevant agencies, practitioners and professionals across North Yorkshire and beyond its boundaries.
- A number of Domestic Homicide Reviews would be undertaken in the coming year.

**Resolved – That:**

- i. The update be noted and;
- ii. A further update be provided in six months' time

**113. NYCC Property Services – Approach to Rationalisation****Considered -**

A presentation on the rationalisation work undertaken by NYCC's Property Services.



## Item 1

Jon Holden provided an overview of the new property management arrangements in place, which included a move to a 'Corporate Landlord' approach, and its drivers i.e. the changes to service delivery models and the changing requirements of the business under the 'Modern Council' programme.

He provided examples in Scarborough where previous rationalisation work had been undertaken, and gave a brief analysis of the work currently underway on the County Hall site which had been facilitated in part through the acquisition of the Courthouse building.

It was confirmed that:

- The cost of purchasing the Courthouse was not included in the savings reported
- The rationalisation works identified to date would result in an expected shortfall of £467K.
- A new asset management system was now in place enabling a better understanding of the costs associated with each asset
- Consideration was being given to how best to utilise the Courthouse once the current staff occupying the building moved back into County Hall.
- A County wide plan and asset register were in development

Gary Fielding confirmed NYCC was working with partners across the county to identify further rationalisation options.

Finally, Members welcomed the opportunity to receive a further update on progress against performance targets in six months' time.

**Resolved – That:**

- i. The update be noted
- ii. A six-monthly update be added to the Committee's work programme

### **114. Brierley Group Governance Arrangements**

**Considered –**

A report describing the governance arrangements in place for the Brierley Group.

Vicki Dixon introduced the report providing an overview of how the current arrangements ensured the County Council was able to properly exercise its rights as owner of majority shareholder of its companies.

The report detailed the governance hierarchy and the role and responsibility of each tier. It was noted that each company has produced a business plan and it was confirmed those plans had been presented to the Shareholder Committee for approval.

County Councillor Derek Bastiman confirmed he had attended a number of the Shareholder Committee meetings and had been encouraged to participate in the debates at those meetings. He went on to confirm that his attendance at those meetings had left him reassured that the governance arrangements for the Brierley Group were robust.

It was noted that the agenda and supporting documents for those meetings were in the public domain and that any member of the Committee could choose to attend if they so wished.

The Scrutiny Officer confirmed that the Business Plans for the various companies were available via the Council's website as part of the agenda papers for the meetings of the Shareholder Committee held in April and May 2019. She also agreed to add the Scrutiny members to the distribution list for the Shareholder Committee to ensure everyone received notification of future meetings and the items of business.

**Resolved – That:**

- i. The update be noted
- ii. A further update be provided in 12 months' time

### 115. Work Programme

The report of the Principal Democratic Services and Scrutiny Officer inviting Members to consider the Committee's Work Programme for the remainder of 2019/20 taking into account the outcome of discussions on previous agenda items and any other developments taking place across the county.

**Resolved – That:**

- a) That the work programme be noted
- b) Based on the discussion earlier in the meeting, the following be added to the Work Programme:

TBC	- Update on Potential Investment in a Solar Farm
March 2019	- Attendance for the Police, Fire & Crime Commissioner
June 2019	- Update on the work of the Community Safety Partnership
June 2019	- NYCC Property Services Performance Update
December 2020	- Customer Portal Update
December 2020	- Brierley Group Governance Update

### 116. Council Plan Development

**Considered –**

A report on the refresh of the 2020 – 2024 Council Plan.

Steve Evans, Head of Strategy & Performance introduced the report which confirmed work was ongoing to refresh the Plan, and that a review of progress against the current Plan had been assessed at senior management level. He confirmed that out of those discussions had come the potential for reducing the existing document in order to make it more digestible, and for adding an additional ambition based around 'North Yorkshire as a place shaper'.

He went on to highlight the progress against the current ambitions as detailed in Appendix A, and highlighted a number of future challenges which included:

- The focus on Adult Social Care and the need to keep residents out of formal care and in their own homes where ever possible
- Growth, and the challenge of working with partners to shape the economy
- Affordability of housing

Members noted the progress and endorsed the proposal to include a fifth ambition, agreeing it was a good way forward.

County Councillor Bryn Griffiths expressed concern around the multi-agency approach to keeping children in formal education, particularly those children from hard-to-reach groups. He confirmed he had raised the issue a number of times but that it had not resulted in any improvements. He acknowledged that school readiness, improving attendance rates generally and reducing permanent / fixed-term exclusions were all important, but felt there was a glaring gap in relation to keeping children from hard to reach groups in school, particularly those in key stages 3 & 4. He therefore suggested that the priorities associated with the Council's ambition to ensure 'Every child and young person has the best possible start in life' should be revised to ensure a focus on children from hard-to-reach groups.

Finally, Members noted officers' intention to circulate by email the draft plan to the Corporate and Partnerships Overview and Scrutiny Committee by 13 December 2019, with a request for comments by 6 January 2020.

**Resolved – That:**

- i. The report be noted
- ii. The proposal for an additional ambition be endorsed
- iii. The feedback from Cllr Griffiths be fed into the Council Plan refresh

Meeting Concluded at 12pm

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# ONE YEAR ON

Progress against the Local Business Case,  
'Working Better Together'

## 2019



Andrew Brodie, Chief Fire Officer  
Julia Mulligan, Police, Fire and Crime Commissioner  
Lisa Winward, Chief Constable

# CONTENTS

<b>FOREWORD</b>	3
<b>EXECUTIVE SUMMARY</b>	4
<b>1. BACKGROUND</b>	6
<b>2. IS IT WHAT WE EXPECTED</b>	7
• Staff perceptions	7
• Independent Baseline Assessment	7
• Chief Fire Officer's 100 Day Report	9
<b>3. REVIEW OF THE GOVERNANCE PROPOSAL</b>	11
The Critical Success Factors (CSFs)	
• CSF 1: Accelerates scale, pace and effectiveness of collaboration	12
• CSF 2: Brings benefits in terms of transparency and accountability	21
• CSF 3: Transfer is deliverable	30
• CSF 4: Mitigates strategic risks	34
• Economic Assessment	37
<b>4. PROGRESS AGAINST YEAR ONE PRIORITIES</b>	40
<b>5. LESSONS LEARNED</b>	42
<b>6. WHAT THE FUTURE HOLDS</b>	43
<b>APPENDICES</b>	45

## FOREWORD

### Welcome to my 'One Year On' review of progress following the transfer of governance of North Yorkshire Fire and Rescue Service.

Much has happened in the last year and I am very grateful to people across North Yorkshire Fire and Rescue Service and North Yorkshire Police who have embraced new ways of working. I am very proud of our collective achievements over the last year and would like to thank everyone for their contribution.

My first few months were spent visiting fire stations, HQ and other locations, to begin to really understand North Yorkshire Fire and Rescue Service and hear and listen to people's views. I also commissioned an Independent Baseline Assessment of the Service by former Chief Fire Officer of Oxfordshire Fire and Rescue Service. The visits and the independent report helped me understand the real strengths of the Service as well as what needed to improve. I was also able to personally stress my commitment to the Service, and to address concerns people had about their jobs, as well as to allay fears about 'mergers' and a potential threat to the independence of the Service.

The Fire and Rescue Service has a very strong public image and this year I have heard from over 3,700 residents, businesses and partners about priorities for the Service and by how much people are willing to support the service via their council tax. This has enabled me to integrate the public's views into the first ever Fire and Rescue Plan. The Service's financial position on transfer was particularly challenging, and would have seen reserves vanishing by 2022/23, in an effort to fill a significant financial shortfall. This had led to fears about future station closures and other significant frontline cuts.

However, since transfer, we have been able to quickly identify significant efficiencies without impacting essential frontline services. We have progressed collaboration at pace, with savings identified from a shared HQ, joint corporate services and co-location of frontline staff. Hard work has meant that we should now break even by 2021/22, putting the Service on a more stable footing for the future.

For the first time in 10 years we've also held an open recruitment process for wholetime firefighters which is an important development. I promised to listen to firefighters, staff, residents and businesses about their priorities for the Service and this open recruitment campaign was one result of what they said.

In July, to take our plans forward and lead the Service, I appointed Andrew Brodie as Chief Fire Officer. Andrew's enthusiasm for our Service's potential and experience of leading innovative collaborative work in Leicestershire set him apart. His 100 Day Report demonstrated a thorough understanding of the challenges facing the Service as well as setting out our shared vision for the future. This will help deliver the priorities in my Fire and Rescue Plan and ensure we provide the best possible service to those who live, visit and work in North Yorkshire and the City of York.

This report shows that not only have I delivered a smooth governance transfer process, but that real progress has swiftly been made against all my intentions in the original business case. There is still much more work to be done but we have a thorough understanding of our challenges and robust plans in place to address them.



**Julia Mulligan**  
Police, Fire and Crime Commissioner for North Yorkshire





## EXECUTIVE SUMMARY

When Julia Mulligan took office in 2012, she identified clear opportunities to collaborate with local public sector partners and in 2013 a Statement of Intent was signed between the Commissioner, Chief Constable and Fire and Rescue Authority setting out an ambitious programme of collaboration across estate, fleet, corporate enabling services, training and other tactical initiatives. However, over the following five years, progress was limited largely to a co-located transport and logistics hub.

In 2017, the Policing and Crime Act gave Police and Crime Commissioners the opportunity to put forward a local business case to transfer governance of the Fire and Rescue Service to the Commissioner. North Yorkshire's business case set out a range of benefits, particularly the pace and scale of collaboration and change. The transfer would also improve transparency and accountability, alongside suggested savings of £6.6 million.

In June 2018 the Home Secretary approved the business case and on 15 November 2018 the transfer was made. The process went smoothly with clear employee consultation and communication, including the publication of an independent baseline assessment to help the Commissioner understand the position of the Service at transfer.

In the 12 months since transfer the pace and scale of collaboration and change has been significant and much progress has been made.

The two organisations now share a joint mission and vision with aligned priorities through their respective strategic plans, North Yorkshire Fire and Rescue Service (NYFRS) have a joint headquarters with North Yorkshire Police (NYP), and ENABLE North Yorkshire has been established to pool corporate enabling services. A single estates strategy is close to being finalised and progress is well under way toward developing a Public Safety Service with multi-agency officers delivering preventative work for both services by the end of the financial year. In addition, several tactical initiatives have been taken forward, with closer working between control rooms, integrated training (for example on mental health), the use of police drones with thermal imaging cameras for supporting fire incidents, and the sharing of calls from the ambulance service for gaining access for medical emergencies.

The Commissioner inherited a significant budget deficit of £1.2 million per year on transfer, increasing to £2.5 million by the end of the Medium Term Financial Plan (MTFP) and in 2022/23 seeing NYFRS's reserves depleted creating a significant risk. On transfer the Commissioner immediately set out to address this situation, setting up a finance working group and ensuring that ideas were gathered from as wide a range of sources across the Service and nationally. Within 12 months since transfer the Commissioner has secured sufficient savings over the course of the MTFP that the budget should break even by 2021 without any detriment to frontline services. Furthermore, over the 10 year period covered by the local governance business case, savings are now forecast to reach £8 million across NYFRS and NYP, £1.4 million more than originally estimated.

Much of this progress stems from more dynamic, transparent and accountable governance, allowing work to move at pace and decisions to be made more quickly. Access to information and a greater understanding of detailed business cases, through support from the Office of the Police, Fire and Crime Commissioner (OPFCC) and having more time to spend with the Service, has meant different considerations and potential gaps have been explored, leading to greater focus on clear priorities. Decisions are more transparent to the public and there is greater clarity on roles and responsibilities through a streamlined Corporate Governance Framework and planning cycle.

Public Accountability Meetings (PAM) are live streamed and can be reviewed via the Commissioner's website, providing the public with a more in depth understanding of their Service and the challenges and good work being done to improve it. More members of the public have been involved in setting the direction of the Service and its precept through consultation than ever before, with over 3,700 involved in the first year.

The detail of this progress and change is set out within this One Year On report demonstrating clearly the work that has been achieved, the challenges faced, and the solutions adopted to overcome them. The key milestones achieved are set out in the table opposite. The Commissioner is pleased that clear progress against her business case has been made and that the pace and scale achieved in the first year demonstrates the clear benefit of the transfer as set out in her business case.



## KEY MILESTONES

Date	Milestone
15 November 2018	Governance transfers to the Police, Fire and Crime Commissioner
20 November 2018	Independent Baseline Assessment of North Yorkshire Fire and Rescue Service published
November 2018	Transform 2020 (T2020) commences
December 2018	Commissioner consults public and partners on fire precept (the amount of council tax people pay for their fire and rescue service) with 2,700 responses
December 2018	Shared S151 Officer confirmed in post by Police, Fire and Crime Panel across OPFCC and Fire Authority
December 2018	Commissioner establishes finance working group to identify savings
January 2019	Review of Principal Officer salaries in line with similar roles nationally
January 2019	Interim Chief Fire Officer Andrew Brodie appointed
February 2019	Medium-Term Financial Plan and Reserves Strategy agreed
February 2019	First Public Accountability Meeting takes place with both Police and Fire
February 2019	Fire precept increase of 2.99% agreed
February 2019	Commissioner consults public and partners on priorities for the Fire and Rescue Plan with 1,000 responses
March 2019	Interim Chief Fire Officer's 100 Day Report published
April 2019	ENABLE collaboration established, bringing together the business support functions of both police and fire services
April 2019	Code of Corporate Governance Framework published
April 2019	Interim Chief Executive appointed as Monitoring Officer across OPFCC and Fire Authority
June 2019	HMICFRS inspection of NYFRS
July 2019	Permanent Chief Fire Officer Andrew Brodie confirmed in post by Police, Fire and Crime Panel
July 2019	Commissioner's Fire and Rescue Plan published
July 2019	Annual Report of NYFRS/Fire Statement published
July 2019	First external recruitment of wholetime firefighters in 10 years
August 2019	Phased move from NYFRS HQ to shared HQ with NYP begins
August 2019	New Joint Head of Estates, Transport and Logistics (NYP/NYFRS) appointed
September 2019	Permanent Deputy Chief Fire Officer appointed
September 2019	Planning cycles of Fire and Rescue Plan and Risk and Resource Model/Integrated Risk Management Plan aligned with PFCC election cycle
October 2019	Finance working group's efficiency proposals agreed
November 2019	Draft joint Estates Strategy (Police and Fire) presented to Executive Board
November 2019	Senior management review across NYFRS/NYP
15 November 2019	One year anniversary of transfer

# 1 BACKGROUND

The Policing and Crime Act<sup>1</sup> was given royal assent in January 2017. The Act placed a high-level duty to collaborate on the emergency services (Police, Fire and Rescue and Ambulance). It also made provision for local assessments by Police and Crime Commissioners (PCCs) as to the most effective governance model for Fire and Rescue Services (FRS), giving them the ability to present a Local Business Case (LBC)<sup>2</sup> to the Home Secretary where they perceived that a different governance model would generate improvements in economy, efficiency and effectiveness, and/or public safety.

In North Yorkshire the PCC considered that such a change may be in the best interest across these considerations. Julia Mulligan commissioned a full and independent assessment of the current Fire Authority governance model and the options available through legislation, including robust and extensive consultation with the public and workforce, and submitted a LBC to the Home Secretary proposing a change in governance. This would see the PCC replace the North Yorkshire Fire and Rescue Authority. The Commissioner would govern both fire and rescue and police services, while each organisation would retain their operational independence, separate Chief Officers, roles and identities. The two services would continue to have distinct roles, identities and finances – one service's savings would not fund the other.

The full business case and consultation report are available on the Commissioner's website.

The Home Secretary approved the LBC in June 2018, recognising the benefits that joint oversight of the police and fire service would bring to the residents and businesses of North Yorkshire. On 15th November 2018, the Commissioner took on all statutory responsibilities of the North Yorkshire Fire and Rescue Authority, becoming the Police, Fire and Crime Commissioner (PFCC) for North Yorkshire.

**The two services would continue to have distinct roles, identities and finances – one service's savings would not fund the other.**



<sup>1</sup> Policing and Crime Act 2017  
<http://www.legislation.gov.uk/ukpga/2017/3/contents/enacted>

<sup>2</sup> Commissioner's local business case 'Working Better Together'  
<https://www.northyorkshire-pfcc.gov.uk/content/uploads/2017/10/North-Yorkshire-LBC-Working-Better-Together.pdf>

## 2 IS IT WHAT WE EXPECTED?

Leading up to and within the first few months following governance transfer, the Commissioner committed to an in-depth understanding of the Service's challenges and opportunities. She did this by listening to the staff of North Yorkshire Fire and Rescue Service and its representative bodies, commissioning fire sector expertise from outside North Yorkshire to provide an independent Baseline Assessment of the Service and considering the Interim Chief Fire Officer's 100 day report.

### STAFF PERCEPTIONS

Prior to and post transfer the Commissioner initiated a roadshow of visits to almost all 38 fire stations and other working locations such as the control room and headquarters, to introduce herself and her role, and to listen to staff feedback about what it was like to work for North Yorkshire Fire and Rescue Service.

Accompanied by the Interim Chief Fire Officer at the time, comments and concerns centred on the potential loss of brand identity associated with the police, the significant savings requirement and potential cuts to the frontline, pay and internal communication, with a need to improve transparency of decisions between senior management and staff. Staff also demonstrated an appetite for change and proposed a wide range of future opportunities and savings.

The roadshows promoted trust and understanding between the Commissioner and the Service and an opportunity to address some of the misconceptions of the impact of governance transfer. Staff were concerned about their Service losing its independence and feeling it could be subsumed as the smaller of the two services. The Commissioner reassured employees that the budgets and identities of the two services were entirely independent. The roadshows were very well attended as it was the first time this had been done. Staff were also given the freedom to raise whatever issues they wanted with the Commissioner and Interim Chief Fire Officer, setting a more accessible, personal and transparent approach to leadership.

*"In the meetings I have been struck by their willingness to look at how we can work together to develop a Fire and Rescue Service that is fit for the future, and I am committed to ensuring everyone is fully involved in these discussions. They know what works and they know the challenge."*

*"One of my priorities has always been to talk to people and let them know what is happening and why – from those on the frontline, to those who support them and the residents and businesses of the county."*

Julia Mulligan, Police, Fire and Crime Commissioner  
November 2018

*"The individual services of North Yorkshire Police and North Yorkshire Fire and Rescue Service retain their operational independence, budgets, their chief officers and their own staff. The two services will always have distinct roles, identities and finances. One service's savings will not fund the other"*

Julia Mulligan, Police, Fire and Crime Commissioner  
November 2018

### INDEPENDENT BASELINE ASSESSMENT

One of the Commissioner's first actions was to initiate an independent report on the state of the Service to fully understand where there was best practice and where improvement would be required. This assessment would review the Service structure, operational practices and protocols and savings plans, contracts, services and trading opportunities.

Between August and October 2018, Dave Etheridge, former Chief Fire Officer of Oxfordshire Fire and Rescue Service, undertook a Baseline Assessment of NYFRS<sup>3</sup>. This report was published soon after governance transfer on 20th November 2018.

<sup>3</sup> Baseline Assessment of North Yorkshire Fire and Rescue Service  
<https://www.northyorkshire-pfcc.gov.uk/content/uploads/2018/11/Report-into-North-Yorkshire-Fire-and-Rescue-Service.pdf>

The table below provides a summary of strengths, weaknesses, opportunities and threats (SWOT analysis) identified within the assessment.

**TABLE 1: BASELINE ASSESSMENT: STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS**

Strengths	Weaknesses
<ul style="list-style-type: none"> <li>• Impressive record of reduction in fires and other emergencies over many years.</li> <li>• Effective partnership working and a good external reputation.</li> <li>• Firefighters and operational crews conduct Fire Safety Audits in businesses.</li> <li>• Strong track record of successful prosecutions of business who place employees/public at risk.</li> <li>• Effective approach to Fire Investigation, especially in relation to fatal fires.</li> <li>• All house and business visits are recorded on a software system which provides a clear audit trail.</li> <li>• Effective training framework, especially concerning operational competencies.</li> <li>• Effective Health and Safety framework.</li> <li>• Effective Incident Command training.</li> <li>• Effective fitness policy for all operational staff.</li> <li>• Fire Cover Review has produced a large volume of data for the Service to use in future.</li> <li>• NYFRS has many dedicated staff who 'go the extra mile'.</li> </ul>	<ul style="list-style-type: none"> <li>• Unsustainable financial position.</li> <li>• Reliance on reserves to 'plug' the financial gap.</li> <li>• IRMP approach is not looking far enough into the future.</li> <li>• No formal Emergency Response Strategy.</li> <li>• No Response Standard which tells the public the time the Service will take to attend a 999 call.</li> <li>• Industrial relations are challenging due to the complexity of various projects and initiatives and the lack of process.</li> <li>• Buildings/furnishings need replacement or refurbishment.</li> <li>• Service could make better use of data and intelligence from other organisations to target higher risk businesses and vulnerable people.</li> <li>• The Service should celebrate success more concerning the positive impacts achieved around community safety.</li> <li>• There is minimal evaluation of the effectiveness of prevention and protection activities.</li> </ul>
Opportunities	Threats
<p>Timely to conduct a fundamental review of the Service in all the following areas:</p> <ol style="list-style-type: none"> <li>1. Understanding where, why and when previous incidents occurred.</li> <li>2. Assessing future risks from housing and business growth and an ageing population and likely future incidents.</li> <li>3. Reviewing the number and location of fire stations.</li> <li>4. Reviewing the future equipment on fire engines and other vehicles.</li> <li>5. Assessing how fire engines should be crewed at different times during the day and night.</li> <li>6. A management review to create a flatter structure.</li> </ol> <p>There are also opportunities to:</p> <ul style="list-style-type: none"> <li>• strengthen industrial relations through greater transparency and consultation;</li> <li>• place greater emphasis on public safety/risk reduction;</li> <li>• put the Service on a firm financial footing;</li> <li>• collaborate further with Police, Ambulance and other public services;</li> <li>• fully engage workforce in the future design and service delivery of NYFRS;</li> <li>• opportunities to broaden partnership working and community safety to become more 'relevant' and add further value to residents and business;</li> <li>• revisit the Tactical Response Vehicles project;</li> <li>• develop a longer-term workforce development strategy; and</li> <li>• ensure future establishment of enabling services jointly with the Police provides greater resilience in the supporting functions (enabling services) .</li> </ul>	<ul style="list-style-type: none"> <li>• Loss of corporate knowledge and strategic experience due to high number of senior managerial retirements.</li> <li>• Service could receive a poor outcome from the forthcoming baseline review by HM Inspectorate of Constabulary and Fire and Rescue Services.</li> <li>• Worsening of financial position due to the potential reduction in government grant.</li> <li>• The potential pensions burden of £1.4m by the next financial year.</li> <li>• NYFRS will have insufficient or no reserves by 2022, leading to a vulnerable position and the inability to use reserves for other programmes.</li> <li>• Service could be open to criticism concerning the lack of equality and diversity within the workforce, especially concerning the employment of women and members of ethnic minorities.</li> <li>• Inflexible working patterns could lead to a less effective service to the public.</li> <li>• Several important projects will run concurrently, putting pressure on capacity and resource allocation.</li> </ul>

The report showed that North Yorkshire Fire and Rescue Service (NYFRS) has dedicated staff and was delivering well against its statutory functions of prevention, business safety and response.

However, very serious challenges were also identified – primarily the 'unsustainable' financial position caused by relying on reserves to 'plug' the financial gap, an approach which the report said 'limits the use of reserves for other purposes and is not common in other fire and rescue services'.

To maintain the current levels of service, which the public rightly expects, NYFRS would need to make savings of around £1.2m recurring from 2019/20. The scale of savings increased to £2.5m recurring, as a consequence of a service delivery decision taken by North Yorkshire Fire and Rescue Authority in December 2017.

The former Fire Authority chose to use reserves to fund the budget shortfall between 2018/19 and 2020/21. The continued use of reserves would have seen them deplete by 2022/23, in turn losing the ability of the Service to have funds available for unplanned emergency spending or for essential investment to modernise the estate, fleet and equipment.

The report also recommended that the Service review the way its resources are used to mitigate risk, ensuring people are in the right place at the right time, with the right equipment and skills to deliver the best possible service to the public. This would in time require a full review of the Integrated Risk Management Plan (IRMP).

The Commissioner considered the recommendations of the report in detail and quickly established a finance

*“The transfer of responsibility for North Yorkshire Fire and Rescue Service has been controversial, but this independent report shows in stark terms why it is so important for there to be a proper, transparent plan to ensure the Service has a strong and sustainable future. This is not the case at present and the challenge I inherit is significant.”*

Julia Mulligan, Police, Fire and Crime Commissioner  
November 2018

working group at the end of 2018, led by the North Yorkshire Fire and Rescue Service, to identify savings, set an emergency budget and enable the Service to live within its means. In contrast to previous processes, this would be completely transparent and accessible to the wider workforce and representative bodies, with savings proposals subject to informal 'round table' discussions, full consultation as required and decisions not taken behind closed doors.

Work commenced quickly to review the approach to financial planning. The Commissioner's Chief Finance Officer, working alongside the Service's Finance Manager produced a robust Medium Term Financial Plan and Reserves Strategy<sup>4</sup>. Capital Financing was reviewed and a significantly reduced Capital Programme put in place to halt the unsustainable use of reserves. The revised Fire Budget and Capital Plans for 2019/20 and the Medium Term Financial Plans to 2022/23 were approved by the Commissioner in February 2019.

## INTERIM CHIEF FIRE OFFICER'S FIRST 100 DAY REPORT

The retirement of three members of the Principal Officer Team, around the time of transfer, created an opportunity to reshape the Service's senior leadership, but also created a potential loss of corporate knowledge and strategic experience. Following an open, widely advertised recruitment campaign, which attracted candidates from around the country, the post of Interim Chief Fire Officer was filled by Andrew Brodie from Leicestershire in January 2019.



<sup>4</sup> Medium Term Financial Plan 2019/20 – 2022/23

<https://www.northyorkshire-pfcc.gov.uk/content/uploads/2019/03/2019-20-Budget-and-Capital-Programme-and-MTFP-to-2022-23-Fire.pdf>



Andrew was subsequently recruited to fill the permanent post in July 2019 after being recommended to the Police, Fire and Crime Panel, again following a rigorous recruitment process which included the opportunity for partner organisations from across North Yorkshire to meet and question candidates.

The appointment of Jon Foster as Deputy Chief Fire Officer in September 2019, along with Carl Boasman maintaining his role as Area Manager positioned North Yorkshire Fire and Rescue Service with a strong, talented and experienced strategic leadership team.

Andrew followed up the Independent Baseline Assessment with his own 100 Day Report<sup>5</sup> published in March 2019. In setting out his understanding of the Service he reflected many of the previous findings, citing clear commitment of staff and the need to improve relationships between staff and management as especially important. The financial position remained the fundamental challenge. An extract from the report below summarises Andrew's understanding of his first 100 days in service.

*“Andrew has proved to be an innovative and strong leader whose passion and ability to improve the safety of our communities is clearly evident. I am delighted that the Panel agree.*

Julia Mulligan, Police, Fire and Crime Commissioner  
July 2019

*“Andrew's findings are insightful and certainly give me food for thought moving forward. It is hard to disagree with his views on the chronic underinvestment in the Service, which hasn't only affected the quality of buildings, kit and equipment in use, but in some instances, also a culture of distrust. We are making progress on these issues, but more time, money and hard work is needed to address them properly.”*

Julia Mulligan, Police, Fire and Crime Commissioner  
March 2019

- “We are an effective fire and rescue service with people who are committed to delivering good internal and external services. There are no obvious areas of concern about safety, service delivery or culture that need immediate action. The public we exist to serve on your behalf can feel safe because we make sure they are safe. There is a great appetite for change and colleagues are willing to step outside traditional approaches to improve our service delivery. Relationships between management and representative bodies is healthy and improving, essential for delivery of future change and sustainability.
- We suffer from chronic long-term under-investment and some long-standing cultural challenges. Much of the estate is dilapidated, too many workplaces are uninspiring. Technological advancements in equipment, fleet and ICT have too often not been made. Mistrust exists between layers of the organisation and this stifles initiative. The means of introducing Tactical Response Vehicles has damaged trust, though it's being rebuilt through sensible, pragmatic decisions and engagement with firefighters and their representative bodies. Colleague's default outlook is to focus on the past and on failures, and encouragement is needed to focus on the present, future and successes; once this happens the ideas are limitless and helpful.”

Extract from Andrew's 100 Day Report  
March 2019

Within his report, Andrew set out an ambitious vision to 2025 to; be financially sustainable, promote an inclusive culture that recognises the benefits of diversity, take forward further collaborative opportunities, invest in and share our estate, explore the use of different vehicles and crewing arrangements to maximise availability, develop a new on-call model that better recognises and rewards firefighters for their commitment, provide stability within the senior leadership team, ensure enabling services are well regarded, efficient and sustainable and demonstrate the causal effect of the work of NYFRS on public safety.

<sup>5</sup> Chief Fire Officer's 100 Day Report

<https://www.northyorkshire-pfcc.gov.uk/fire-oversight/governance/100-day-report-on-fire-and-rescue-service/>

### 3 REVIEW OF THE GOVERNANCE PROPOSAL

This chapter forms the focus of the Commissioner's One Year On review, reflecting on whether the new governance model has delivered the intended benefits and outcomes.

The Local Business Case assessed each governance option against a set of design principles:

- whether a change of governance would drive economies, efficiency and effectiveness in both police and fire services by significantly accelerating pace and efficacy of collaboration between these services and their wider partners, to the benefit of public safety (a statutory requirement of the Policing and Crime Act 2017);
- whether a change in governance would deliver wider benefits relating to transparency and accountability.

Four Critical Success Factors (CSFs) were identified, representing the attributes essential to the successful delivery of the change in governance.

- CSF 1: Accelerates scale, pace and effectiveness of collaboration
- CSF 2: Brings benefits in terms of transparency and accountability
- CSF 3: Transfer is deliverable
- CSF 4: Mitigates strategic risks

Table 2 below displays the assessment of the PFCC governance model against the tests at the time the Local Business Case was written. One year on, all four CSFs have been progressed and/or delivered. The following chapters explain in detail the delivery outcomes against each CSF and include a review of the original economic assessment that identified £6.6m savings over a 10 year period.

**TABLE 2: ONE YEAR ON SUMMARY AGAINST THE CSFs AND STATUTORY TESTS**

Critical success factor	Test	Economy / efficiency / effectiveness	Statutory tests		One Year On
			Economy / efficiency / effectiveness	Public safety <sup>6</sup>	Progress
<b>CSF 1</b> <b>Accelerates scale, pace and effectiveness of collaboration</b>	The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money	High	✓✓	N/A	<b>YES</b>
<b>CSF 2</b> <b>Brings benefits in terms of transparency and accountability</b>	The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS	Medium	✓✓	N/A	<b>YES</b>
<b>CSF 3</b> <b>Transfer is deliverable</b>	The governance option can be implemented successfully	Medium	N/A	✓✓	<b>YES</b>
<b>CSF 4</b> <b>Mitigates strategic risks</b>	The governance option can mitigate strategic risks	High	✓✓	✓✓	<b>YES</b>
<b>Net present value (£)</b>		£6.6m			<b>£8.0m</b>

<sup>6</sup> The Local Business Case did not seek to make a statement on public safety in relation to the degree to which collaboration or governance will directly impact on it. Therefore an assessment against CSF1 and CSF2 was not made.

# CRITICAL SUCCESS FACTOR 1

## Accelerates scale, pace and effectiveness of collaboration

Extract from the original Local Business Case

### THE LOCAL BUSINESS CASE

**Test:** The governance option can accelerate and enable more effective collaboration and deliver tangible public safety and vulnerability prevention benefits to reduce harm, improve resilience and effectiveness, and increase value for money.

This option would enable collaboration of a different scale than has been possible previously, with the ability to align priorities and budgets and share resources more easily. Under this option, the PCC would be able to move closer towards her transformational vision by delivering a fire / police whole system approach to prevention and early intervention. These could be supported by a more strategic approach to use of data and intelligence to inform the commissioning of services.

Wider integration of control room and enabling support services would also be more possible, although this would represent a significant change and incur implementation costs. This may, in future include a range of delivery options, including further review of a new delivery model such as a third entity. A separate business case would be required to assess the case for such a change.

This option will bring benefits in terms of resilience, flexibility in access to resources, thus making it easier to deliver front line services such as joint response and early intervention and prevention. In delivering collaboration, the PCC could act as a driver of change and transformation. Over the longer term, staff teams working together over time would also be likely to collaborate more, bringing more benefits and impacting on cultural barriers.

Under this option, it is also more likely that the opportunities to create shared governance roles across fire and police will be taken promptly, and the PCC would move to create a streamlined governance structure which operates at the speed of the required activity and aligns with the model adopted in policing. With a single decision-maker it is also more likely that over time opportunities will be seized to create shared support roles where there is a good business or cost reason to do so.

It is also considered, based on the evidence provided in the Strategic Case about how single governance can accelerate decision-making, that the pace of collaboration is more likely to increase. A single decision maker will ensure that there is aligned political will and ambition.

A single governance approach could also simplify collaboration arrangements with other partners, such as health and local authorities, reducing duplication and enhancing the ability of both services to collaborate more effectively and efficiently. It would reduce the number of decision makers needed in discussions and be able to join up discussions across the services. Initial engagement with health partners has indicated that this is anticipated by partners already.

### ASSESSMENT AGAINST CSF 1

CSF 1. Acceleration of pace and effectiveness of collaboration		Likelihood of additional benefits to the status quo (low / medium / high)					Overall assessment
		Early intervention and prevention	Estates integration	Shared support services	Health collaboration	Other wider collaboration opportunities	
Transfer of functions (Governance)	Improves public safety and prevents vulnerability	●	●	◐	●	◐	H
	Brings efficiencies and resilience	●	●	◐	◐	◐	M

**Key**

- High
- ◐ Medium
- Low



## CSF 1 – PROGRESS ONE YEAR ON

### SHARED VISION

The new governance model has ensured the Commissioner, Chief Constable and Chief Fire Officer now have a shared vision and common purpose.

The Commissioner's Police and Crime Plan and her new Fire and Rescue Plan help set out the joint vision of providing an exemplary service and a shared mission to keep people safe and feeling safe in North Yorkshire and the City of York. Both plans share priorities of caring about the vulnerable, ambitious collaboration, improving frontline resources by better equipping staff with technology, skills, capacity and personal support and effective engagement with communities and customers.

North Yorkshire  
Police, Fire & Crime  
Commissioner



There is a shared direction and commitment to progress collaborative opportunities between the two services, clearly evidenced at the Commissioner's November Public Accountability Meeting where collaboration between the two services was under the spotlight. The collaborative opportunities outlined in the Police and Crime Plan mirror those in the Fire and Rescue Plan. There are good opportunities to learn from each other and a determination from the new senior leadership team to work, together where appropriate, in the public interest.

### SERVICE TRANSFORMATION (TRANSFORM 2020)

Prior to the transfer of governance, the Commissioner had initiated the Transform 2020 programme (T2020) with a policing focus, procuring an external strategic partner for support (PricewaterhouseCoopers). The procurement included the option for T2020 to be extended to NYFRS, should the Commissioner's Business Case be approved by the Home Secretary.

T2020 has now started to fundamentally re-align the operating model of enabling services and embed collaborative working at the core of North Yorkshire Police and North Yorkshire Fire and Rescue Service.

Both the Commissioner's own assessments and HMICFRS's findings showed that some areas of enabling services in NYP, which support front-line operational services, were providing poor value for money. Furthermore, changes driven by national programmes and the changing nature of public demand and crime required a re-evaluation of the way services were being delivered. In parallel, NYFRS was found to be facing a significant financial shortfall over the next four years. T2020 has evaluated how services can be delivered more efficiently and aims to deliver £10 million of recurring savings by the end of 2020/2021 for the Police and a further £2.5m for the Fire and Rescue Service.



However, T2020 is about more than just financial savings. It aims to help NYP and NYFRS adopt new ways of working that will allow the organisations to be more flexible, responsive to local need, driven by analytical insight and equipped to respond effectively and sustainably to future challenges.

Change of this degree has had a fundamental impact on our people and the Commissioner, Chief Constable and Chief Fire Officer are committed to supporting staff through the changes ahead. This includes internal support delivered through the change team, line managers, Heads of Function, HR and occupational health and external support commissioned from North Yorkshire County Council. T2020 is communicating openly and honestly about the future and has adopted an approach of co-design, testing and phased roll-out of those changes that require new ways of working, so that the impact on the organisations and their people is well understood.



## SHARED SUPPORT SERVICES

ENABLE North Yorkshire was established in April 2019, and is a formal collaboration bringing together the business support functions for NYP and NYFRS. The shared vision for this collaboration is to deliver by 2020 a Police Service and a Fire and Rescue Service for North Yorkshire and the City of York which retain their respective identities, legislative duties, powers and responsibilities, and governance arrangements, but which share an integrated suite of business support and community safety prevention services where it makes sound operational and business sense to do so. The communities of North Yorkshire and the City of York will continue to enjoy discreet Police and Fire and Rescue Services but will see two of their blue light

services functioning as a virtual combined service in terms of business support and prevention.

In order for ENABLE to be progressed via a formal collaboration between NYP and NYFRS, it was necessary to transfer staff providing enabling services from the employment of the PFCC to that of the Chief Constable, as was envisaged at the time of the original Statement of Intent to Collaborate in 2013.

ENABLE comprises functions across the two services detailed in the table below.

**TABLE 3: ENABLE FUNCTIONS (NYP AND NYFRS)**

Functional Area	NYP	NYFRS
Administration	✓ (Business Administration Services)	✓
Communications	✓ (Corporate)	✓
Finance	✓	✓ (Payroll)
HR and Learning & Development	✓	✓ (Training Delivery, Occupational Health, Health & Safety)
ICT	✓	✓
Information Management	✓	✓
Strategic Intelligence, Information and Performance	✓ (Analytics, Inspection)	✓
Organisational Change	✓	✓
Transport, Logistics and Estates	✓	✓
Legal* and Procurement		✓

\*NYP's legal team is not included as Evolve, a collaboration with Cleveland and Durham police forces, is the existing collaboration agreement through which NYP legal services are provided.

The Chief Constable and Chief Fire Officer are jointly responsible for setting out the requirements of the collaboration and the services they need, delivered by ENABLE's new Managing Director. The Commissioner will hold the Chief Constable and Chief Fire Officer to account for efficient and effective delivery of the new collaboration.

ENABLE is currently within stage 1, progressing to stages 2 and 3 over the next year:

### Stage 1 – Simplify

Remove duplication of processes, define and refine what our enabling services do, ensure staff are deployed appropriately and supported to be the best they can, support managers to provide strong leadership and optimise the use of technology.

### Stage 2 – Standardise

Transition to self service enabling services across the organisations, continue to improve processes, implement technology standardisation through joint procurements when upgrades are required, ongoing prioritisation in line with emerging needs of North Yorkshire Police, North Yorkshire Fire and Rescue Service and the public of North Yorkshire and the City of York.

### Stage 3 – Share

A completely standard set of processes across North Yorkshire Police and North Yorkshire Fire and Rescue Service, underpinned by a common set of systems.

## SHARED GOVERNANCE AND MANAGEMENT ROLES

There is now one Monitoring Officer and S151 Officer for the Commissioner and Fire Authority. This has brought significant benefits through streamlined decision making, comprehensive business awareness of risks and strategic priorities across both organisations, as well as cashable savings.

As forecast, the change in governance has led to combined/reduced senior management roles across fire and police around corporate, non-operational roles. In July 2019, on retirement of NYP's Head of Estates, the Head of Technical Services for NYFRS was seconded to become the new Head of Estates, Transport and Logistics across both services. Further opportunities exist to share management roles within ENABLE will be explored within phase 2 of T2020, to be implemented in line with existing staff retirements or natural attrition.

## STREAMLINED, COLLEGIATE DECISION MAKING

The speed of decision making has improved under the new governance model with the ability to get things done quickly without waiting for committee cycles. The Police, Fire and Crime Commissioner, Chief Fire Officer and Chief Constable work in partnership to develop proposals for both services and make decisions. The decision-making process is deliberately separate from performance management and scrutiny, which takes place in a separate forum, aiding transparency.

The system has three principles at its heart:

1. Improved, streamlined decision-making
2. Greater and earlier public, workforce and partner involvement
3. Operational accountability and transparency

The engine of the system is the monthly Executive Board meeting, attended by those in leadership roles at the Police and Fire Service and chaired by the Commissioner.

**TABLE 4: EXECUTIVE BOARD ATTENDEES**

Attendees	
Police, Fire and Crime Commissioner (Chair)	Chief Constable
Deputy Police and Crime Commissioner	Chief Fire Officer
Chief Executive Officer	Deputy Chief Constable
PFCC Chief Finance Officer	Deputy Chief Fire Officer
Chief Constable's Chief Finance Officer	Head of Organisation and Development
Managing Director, ENABLE	Heads of Legal Services

A 'pipeline' of decisions is considered and individual matters are discussed in depth. The Executive Board provides a formal forum to discuss and progress the development and improvement of the two services and of the service delivered to the public in line with the Police and Crime Plan and Fire and Rescue Plan.

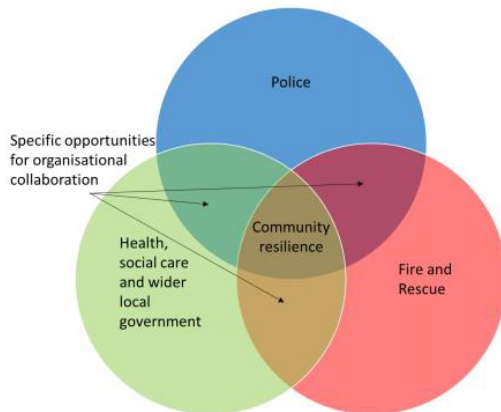
The Executive Board is supported by Chiefs Catchup where the Commissioner, her Chief Executive and the two Chiefs, meet informally on a weekly basis to ensure those decisions coming to the Executive Board are progressing appropriately. It provides an opportunity for the four senior leaders to informally review, discuss and provide strategic direction, to consider strategic issues and discuss corporate and partnership meetings. It has promoted open and transparent sharing of ideas and information at the most senior level of leadership. This process facilitates the early consideration of proposals between the key decision-makers and good communication. Importantly, it also ensures that the public, partners and workforce are consulted before key decisions are made.

## IMPROVED PREVENTION AND DEMAND MANAGEMENT

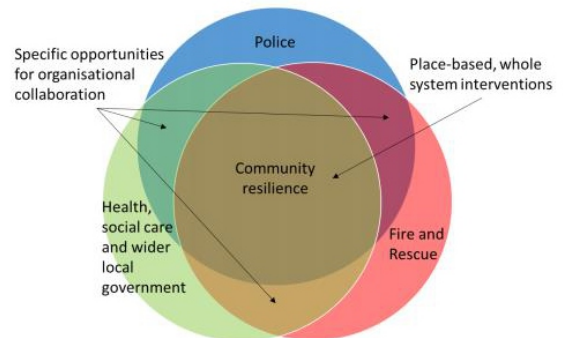
The PFCC set out a clear vision for the strategic transformation of police and fire collaboration to deliver joined-up preventative services for North Yorkshire and to ensure that the frontline is protected by improving the efficient and effective use of emergency services assets, estates and support services.

The LBC set out the need for collaboration to focus on outcomes for the public. The two models below illustrate how an organisational perspective could see organisational leaders putting their service before the need of the public, whereas an outcomes perspective would see increasingly greater overlap of service delivery through greater collaboration to improve community resilience and public safety.

**FIGURE 1: ORGANISATION LED**



**FIGURE 2: OUTCOME LED**



### Public Safety Service

The LBC recognised the challenges being faced by public sector agencies in meeting the needs of vulnerable individuals in the current financial climate. Communities, especially rural communities, have seen services retract. For the Fire Service, there is also a particular crisis in the recruitment and retention of on-call firefighters, especially in rural communities. No one service or agency can afford to solve this problem on their own, but collectively a solution is possible.

A pilot is being developed for a Public Safety Service which will initially be run in Craven. This will build on the already valuable partnership working through community safety hubs to build community resilience, prevent vulnerability and thereby reduce harm. It aims to bring together a wide range of partners to create a single approach tailored to the needs of local communities.

The hub will focus on primary prevention, early intervention and problem-solving activities across organisations at a district-wide level. It will focus on helping to reduce demand, identify unmet complex and service-spanning needs and improve community resilience, connecting vulnerable people to healthcare providers, social services, alcohol and mental health advice services, housing services, appropriate voluntary sector organisations, town planning and community groups.

The physical location of the team has been challenging as neither the police, fire or council offices are suitable. Alternatives are being sought.

A central part of this service will be a multi-agency role working on behalf of and across all involved partner agencies. Public Safety Officers (PSOs) will be in post by April 2020 based on the Tri-Service Safety Officer (TSSO) role successfully introduced across Cornwall. A North Yorkshire multi-agency project team visited Cornwall in September 2019 to shadow the county's TSSOs over two shifts and to gain an overview of this multi-agency project from design through to implementation.

In 2020, starting in the pilot area of Craven, the Commissioner will introduce two PSOs. The primary role of the PSO will be to support the community safety prevention agenda. Tasked by police, fire, health and council via the hub and other methods, the PSOs will carry out domestic and business risk reduction visits through intelligence and targeted information, to reduce the risk to the most vulnerable in our communities and can feed intelligence on vulnerability back to the hub where referrals can then be assigned specific targeted interventions by the actual services. The role will also manage a caseload relating to anti-social behaviour and could in addition develop location-based specialisms that could include

probation support for local rehabilitation or community sentencing.

The PSOs would also provide resilience to blue-light services response. PSOs will undertake operational elements of the on-call firefighter's role, with Community Safety Accreditation Scheme (CSAS) powers from the Chief Constable, to contribute to maintaining and improving community safety, and will be trained as Ambulance Emergency First Responders.

A multi-agency working group is currently progressing the development of the proposed Public Safety Officer, and identifying the necessary training and infrastructure, as well as determining the most beneficial locations within Craven, with a view to recruitment commencing in January 2020.

A full benefits review of the Public Safety Service pilot in Craven will be undertaken during 2021 as well as an independent evaluation of the Public Safety Officer role.

### Safe and Well Visits

Safe and Well visits form a valuable contribution to the Fire Service's prevention activities. "Safe and Well Part 1" offers bespoke fire safety advice to help mitigate the risk of fire. Since transfer, "Safe and Well Part 2" has been introduced, allowing firefighters to extend discussions beyond fire safety to act upon a wider range of health and wellbeing risks. These additional factors can often result in much needed referrals to partner agencies e.g. social care.

- **Safe and Well Part 1** Previously called Home Fire Safety Visits – to help mitigate risk of fire
- **Safe and Well Part 2** A more comprehensive visit extended to cover wellbeing, dementia, alcohol, cold homes, scams and fraud prevention

There were initial concerns amongst firefighters about the necessary level of training required for the extended elements of the Part 2 visit and the unresolved national pay negotiations have to some extent hindered firefighters conducting Part 2 visits.

Targeting could be much improved by use of a broader range of partnership data to create a more robust assessment of vulnerability to fire. The Service aims to increase the number of partnership referrals into the Service, to better target Safe and Well visits.

### Volunteers

With assistance from North Yorkshire Police's Volunteer Co-ordinator, two volunteers have been recruited to assist in Craven with the Fire Service's prevention agenda, conducting Safe and Well Visits and delivering other fire prevention work. The volunteers will commence in post by the end of the calendar year. There is further collaborative potential for volunteers to work across services on joint community safety prevention activities, to be explored over 2020.

### Sharing data

To identify the most effective locations for the Public Safety Officers, our emergency services are now sharing data and intelligence to map demand, response and vulnerability across North Yorkshire and the City of York. Yorkshire Ambulance Service (YAS), NYP and NYFRS have all shared data at the design stage of this project with the view to accelerated, regular and meaningful use of shared data to inform future decision making and understanding of public need.

The information management teams for both NYP and NYFRS will shortly be co-located within ENABLE, greatly increasing resilience and encouraging data sharing as a matter of course between the two organisations.



## OPERATIONAL COLLABORATION

### Emergency First Responders (EFRs)

With a Memorandum of Understanding now re-established between YAS and NYFRS, firefighters can be called out to certain life-threatening incidents at the same time as an ambulance. An EFR does not replace the usual emergency medical response from the Ambulance Service. However, fire service resources within the local community could mean they are nearer to the scene in those first critical minutes of a medical emergency, delivering life-saving care until an ambulance arrives. Post transfer, Pickering and Lythe fire crews have reengaged in the EFR pilot on a voluntary basis and have already responded to a number of incidents, helping to save lives. The Commissioner would like to see this activity rolled out across North Yorkshire and the City of York.

### Gaining Access for Medical Emergencies (GAME)

Gaining access to premises to assist Yorkshire Ambulance Service is now carried out on a voluntary basis in Scarborough and Skipton. Firefighters provide humanitarian assistance at emergencies where people are thought to be in need of urgent medical attention but where ambulance service paramedics cannot gain access, for example when they are locked indoors. The Fire Service has sound skills, knowledge and experience of making entry into premises, sometimes without damage due to high level access capability (using a ladder) and are quick to respond. Firefighters have better equipment to force an entry, creating less damage than police methods. The Commissioner would like to see this rolled out across North Yorkshire and the City of York.

### Drones

A good example of how opportunities for collaborative working are more apparent when working closer together. From the 16th October 2019 a Memorandum of Understanding was put in place allowing NYFRS to request NYP's drones and their pilots to assist in providing a birds-eye view of incident scenes.

## SINGLE ESTATES STRATEGY

One of the most significant areas of transformation, savings and improved working will be a 'One Estate' strategy. Sharing the estate will bring benefits of a rationalised estate, higher utilisation of the existing estate, benefits from shared maintenance contracts and wider knock-on benefits through co-location of staff. A review of both NYFRS and NYP estates strategies has provided an opportunity to look at a joint estates strategy, to deliver 'community safety services' to the people of North Yorkshire and the City of York.

The newly appointed Joint Head of Estates, Transport and Logistics has proposed a unified estates strategy, reviewed by the Commissioner's Executive Board in November 2019. This strategy looks to align all estate across both services and identify and progress merger of stations in appropriate locations. This joint strategy will deliver both capital disposals and revenue savings.

### Shared stations

The Fire and Rescue Service currently hosts North Yorkshire Police personnel in Bedale, Boroughbridge and Ripon. Plans are well advanced for agile working space to be available for police personnel at Harrogate Fire Station, alongside Yorkshire Ambulance Service.

### Shared headquarters

A phased transfer of all 75 staff from NYFRS HQ at Thurston Road in Northallerton, to Alverton Court, commenced in August 2019 and will be completed by mid December this year, well in advance of August 2020 when the lease on the current Fire HQ expires. The move has been supported by extensive planning and all the major enablers (IT systems, access cards, space, lockers, parking etc.) are now in place and ready to use.

*“Working in partnership with North Yorkshire Police shows our commitment to collaboration through maximising opportunities in the interest of community safety and protecting our staff.”*

Mark Naylor, Group Manager, North Yorkshire Fire and Rescue Service

October 2019

Much work has been done to mitigate residual concerns about loss of identity including joint signage at HQ, the establishment of ENABLE as a 'brand' under the leadership of the Managing Director, regular, inclusive internal communications and briefings, supported by site visits to familiarise Fire Service staff with the new building and to meet their Police colleagues with whom they will be sharing office space.

A joint memorial garden that was created in the autumn is a good demonstration of how the two organisations can work in the same space but maintain their own identities.



*Police and Fire cadets unveil the new obelisk*

There are very significant benefits of a shared headquarters including:

- **Better use of space** - sharing common facilities (welfare, meeting rooms, reception etc.)
- **Effective strategic leadership** – bringing leadership teams together in one location allows for the cross-fertilisation of ideas and plans to further promote collaboration and drive efficient and effective delivery
- **Building effective working relationships** - opportunity to integrate staff and develop closer and more productive working relationships
- **Effective use of assets** - using whole site for the benefit of both partners
- **Reducing costs** - sharing one building will create savings across both services
- **Improved public perception** - presents an appropriate public image by making best use of shared assets

### Joint transport and logistics hub



NYP and NYFRS operate a vehicle fleet supported by predominantly in-house service provision and some external contracts with third parties for fleet related services. Additionally, the two services also operate logistics functions which provide for the purchasing and delivery of uniform, equipment and other supplies to the end users. In June 2017, the two partners moved their respective Transport and Logistics teams into a new, shared facility in Thirsk (owned by NYFRS). The new Transport and Logistics Hub was constructed to a joint specification to meet the current and future needs of both services.

In late 2017, following vacancies in each organisation, the partners took advantage of a further opportunity to collaborate, combining the

management teams of their respective Transport and Logistics sections to create an interim collaborative structure to deliver support services to both partners. This has been in place formally since 1st December 2017.

Since governance transfer, T2020 has reviewed the integrated delivery model and identified opportunities to disestablish spare capacity, deploy orderlies and surveyors more efficiently and realign the staffing structure across both organisations so that there is collaborative oversight through shared managerial roles and alignment of responsibilities, grades and remuneration.

## BETTER INTEGRATION AND JOINT TRAINING

### Control Rooms

Over the last 12 months, there has been a marked increase in joint training across the two services' respective control rooms. Duty managers have been meeting regularly to gain understanding of the differing roles and exchange ideas. They have also used the meetings as a chance to debrief issues and look at data sharing. An example would be the Police gaining an understanding of the Fire Service's National Interagency Liaison Officer (NILO) role and the need for access to Police Control to gain situational awareness during certain incident types.

The current mobilisation and software platform is due for replacement, or contract extension, in 2023. This would present an opportunity to assess the potential of a single call receipt and mobilisation function across the two services.

### Training

NYFRS and NYP are now actively seeking opportunities for shared training and have, over the last twelve months joined up training on several areas including mental health and neurodiversity. Joint events such as the Intersectionality Conference have been positively received by staff and help reinforce a shared vision across the two services.

Joint Leadership Days across the two services have provided the opportunity to learn together and build relationships from a leadership perspective.

### Promotion assessments

Staff across both organisations are more involved in each other's recruitment and promotion processes. Police personnel have contributed to Fire recruitment and managers from the Fire Service are now represented on Police promotion assessment panels.

As an example, the recent inclusion of a police officer on the Fire Service's Equality, Diversity and Inclusion Group is helping to share best practice around recruitment with a view to improving the diversity of the workforce.

*"The transfer has reinvigorated the need to collaborate more closely.*

*The most important aspect of collaborative working has been the development of informal working relationships between the two control rooms which has helped to progress a number of areas of work."*

Simon Gallagher, District Group Manager,  
Control, NYFRS

November 2019



## CRITICAL SUCCESS FACTOR 2

Brings benefits in terms of transparency and accountability

### THE LOCAL BUSINESS CASE

Extract from the original Local Business Case

Test: The governance option can improve transparency, accountability, visibility, and consistency of decision-making for the public, stakeholders and NYP and/or NYFRS

This option could also enable the changes that the PCC model has brought to policing to apply to fire and rescue services. There would be increased public engagement through a directly elected PFCC who would put in place similar accountability and engagement arrangements for fire as exist currently for police. This can contribute to the increased effectiveness of emergency services to understand and meet public expectations. It would mean:

- Direct and joined-up access to PFCC through police and fire public surgeries (FRA matters are discussed at local NYCC Area Committee meetings), making it easier for the public to raise concerns.
- Easier access to public meetings (PCC's Corporate Performance, Delivery and Scrutiny is live streamed and questions can be posed on social media such as Twitter live whereas the public can attend or pose questions in advance to the FRA).
- Independent technical resources within an OPFCC who would provide additional capacity and capability to provide effective independent scrutiny and challenge to decision-making, although this would incur additional costs.
- Speed of decision making is likely to increase as PCC formal governance is more frequent than the NYFRA with weekly and monthly decision-making meetings.
- It is likely to raise the public profile of fire governance, as the PCC role has been shown to raise the profile of police governance. There would be a single, democratically accountable person responsible for fire governance, with a clear port of call for people to contact and a visible public presence.

As shown below, the option was assessed as medium because it will bring a material change to the status quo position on the governance attributes below.

### ASSESSMENT AGAINST CSF 2

CSF 2. Benefits in terms of transparency and accountability	Degree to which transparency and accountability attributes are achieved (low / medium / high)						
	Ability to create single direction /guiding mind	Improving cultural environment for collaboration	Improving speed of decision making	Improving scrutiny	Improving transparency	Improving public engagement and awareness	Overall assessment
Transfer of functions (Governance)	●	◐	●	◐	◐	●	M

**Key**

- High
- ◐ Medium
- Low

## CSF 2 – PROGRESS ONE YEAR ON

### CLARITY OF ROLE

As a single, democratically accountable person elected specifically for the purpose of governing the Fire and Rescue Service and held to account at the ballot box by the electorate every four years for the service being delivered, the Commissioner has a visible public presence and is a clear point of contact with clear responsibilities to:

- develop a Fire and Rescue Plan that sets the direction and priorities for the Service;
- scrutinise, support and challenge performance against the Fire and Rescue Plan;
- approve an Integrated Risk Management Plan (IRMP);
- set a budget and the local fire precept;
- maintain an efficient and effective fire and rescue service;
- provide a local connection between the fire and rescue service and local communities;
- appoint a Chief Fire Officer to lead and manage the service.

### ACCESSIBILITY AND PUBLIC ENGAGEMENT

#### Public Accountability Meetings (PAM)

Monthly Public Accountability Meetings are the forum in which the PFCC holds the two Chief Officers of both services to account for the service to the public. The meetings are live-streamed and open to public engagement via social media. Questions can be emailed ahead of time or tweeted live. Forthcoming PAMs are advertised on the OPFCC website, social media and via the North Yorkshire Community Messaging system. The agenda, papers, presentations and minutes are available online, including a monthly performance assessment against a wide range of performance indicators. Recordings of each meeting are made available on the OPFCC website.

At PAMs, NYFRS is required to demonstrate the quality of the service in different areas and is assessed against the vision of the Fire and Rescue Plan. The PFCC has already asked the two services to jointly report on some topics, to explain how they are recognising their shared challenges and are collaborating to improve their services to communities.

**TABLE 5: PAM TOPICS – NORTH YORKSHIRE FIRE AND RESCUE SERVICE**

2019	Topic	Joint NYP / NYFRS
February	Older people	YES
March	Health and safety in the workplace	
April	National resilience and major incident preparedness	
May	Equality, diversity and inclusion	
June	Mental health	YES
July	Protection and business safety	
August	Special services	
September	Safe and well checks	
October	On-call availability	
November	Fire/Police collaboration	YES

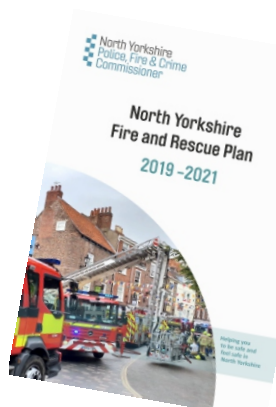
## Public engagement

Listening to and understanding the needs and views of local people across North Yorkshire and the City of York is of primary importance to the Commissioner. This is achieved in a wide range of ways, in setting out the Fire and Rescue Plan, but also informally on a day-to-day basis. This includes public meetings and one-to-ones in cities, towns and villages across the area, as well as through commissioning independent research studies, consultations and surveys.

Over 2018/19, 16 formal surgeries (allowing for holidays, this is approximately one every three weeks), at which residents can meet for a one-to-one talk with the Commissioner, took place as well as 27 Community Engagement events where the Commissioner met with members of the community to discuss the work of the OPFCC. On transfer, the remit of surgeries and events was expanded to include fire and rescue related matters.

## Fire and Rescue Plan consultation

Like the Police and Crime Plan for NYP and unique to the PFCC governance model, the Commissioner must produce a Fire and Rescue Plan, setting out the strategic vision, priorities and objectives for NYFRS. They must make arrangements for obtaining the view of the community as they currently do in preparing their Police and Crime Plan, to ensure Service priorities reflect the needs of the public.



To identify and shape the draft priorities and objectives for inclusion in her Fire and Rescue Plan, the OPFCC undertook extensive background research and consultation including focus groups with partners, Fire and Rescue Service staff across the organisation, including the senior leadership team and representative bodies, members of North Yorkshire Police's senior leadership team and locally elected councillors.

Draft priorities and objectives were subsequently worked up and presented for public and stakeholder consideration in an online survey with hard copies available on request, including access to an easy read format. A short version of the consultation was

*"This is the first time that priorities for North Yorkshire Fire and Rescue Service have been clearly and publicly set out and are based on the priorities that the Fire Service, plus the communities and businesses of the county, have told me are important."*

Julia Mulligan, Police, Fire and Crime Commissioner  
July 2019

produced and distributed to libraries and council offices across North Yorkshire and the City of York. The consultation was promoted by targeted emails to the public, key stakeholders and partners and by using digital/social media and press activity.

Over 75% of the 1,000 respondents supported the four priority areas:

### Caring about the vulnerable

to provide services that will best protect the most vulnerable people in our community and in doing so, make them safer

### Ambitious collaboration

to maximise opportunities to work jointly with partners and to provide a more effective, efficient and proactive community safety service

### Realising our potential

to create an inclusive work environment and a positive, supporting culture where we provide our people with the equipment, IT, training, skills, and capacity to effectively prevent and respond to incidents

### Effective engagement

to increase trust and public confidence in our Service, involving, engaging and consulting our communities on the services we provide and delivering the best possible service.

The Commissioner's Fire and Rescue Plan 2019-21<sup>7</sup> was published in July 2019 on the OPFCC website.

The Service has already made progress in delivering the outcomes set out in the Plan and is writing a Service Delivery Plan to ensure all objectives are met by 2021.

The Fire and Rescue Plan provides the opportunity for the public to not only influence the Service's priorities, but to hold the Commissioner to account for ensuring delivery of the Plan's objectives. Achievement of the Plan's objectives are linked to the Chief Fire Officer's progression plan.

<sup>7</sup> North Yorkshire Fire and Rescue Plan 2019-21 <https://www.northyorkshire-pfcc.gov.uk/content/uploads/2019/09/Fire-Rescue-Plan-2019-2021.pdf>



**Principle A:**

Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

**Principle B:**

Ensuring openness and comprehensive stakeholder engagement

**Principle C:**

Defining outcomes in terms of sustainable economic, social and environmental benefits

**Principle D:**

Determining the interventions necessary to optimise the achievement of the intended outcomes

**Principle E:**

Developing the entity's capacity, including the capability of its leadership and the individuals within it

**Principle F:**

Managing risks and performance through robust internal control and strong public financial management

**Principle G:**

Implementing good practices in transparency, reporting and audit to deliver effective accountability

- **Scheme of Corporate Governance – Delegations and Consents** – provides a framework which ensures the business is carried out efficiently; ensuring decisions are not unnecessarily delayed. It aims to clarify those powers which, for the benefit of good practice, are given to the statutory officers and staff.

On 11 April 2019, the Commissioner, as the statutory Fire and Rescue Authority, published the final Corporate Governance Framework.

The framework will be reviewed on an annual basis by the Commissioner, Chief Fire Officer, Chief Executive and Monitoring Officer and the Chief Finance Officer (S151 Officer).

## TRANSPARENCY

The Code of Corporate Governance sets out transparency requirements of the Commissioner in their role as North Yorkshire Police, Fire and Crime Commissioner (Fire and Rescue Authority):

- Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording criteria, rationale and considerations on which decisions are based;
- Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints;
- Ensure that those making decisions whether for the Authority or a partnership are provided with information that is relevant, timely and gives clear explanations of technical issues and their implications;
- Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.

PFCCs have additional express legal obligations to ensure transparency such as the duty required by statute to publish documents and information as set out in the Elected Local Policing Bodies (Specified Information) Order 2011 and the Elected Local Policing Bodies (Specified Information) (Amendment) Order 2012. Specifically, they need to publish data on the following questions:

- Who is your PFCC and what do they do?
- What do PFCCs spend and how do they spend it?
- What are the PFCC's priorities and how are they delivered?
- How do PFCCs make, record and publish their decisions?
- What policies and procedures govern the Office of PFCC?
- Provision of public access to a Register of Interests



The data on the six areas above is all published on the OPFCC's website under 'Fire Oversight' and 'Transparency'. The OPFCC's Policy and Scrutiny Officer (Fire and Rescue), as the national OPFCC lead on Transparency and Accountability, is currently creating best practice publishing requirements for PFCCs, including content and timeframes for reports/plans. This will be cross-referenced with standards required to obtain COPAC Transparency Quality Marks.

As the Association of Police and Crime Commissioners' lead on Accountability and Transparency, the Commissioner seeks to ensure high standards within this area are maintained by her office.



## Decision notices

The Commissioner has ensured decision-making is transparent. Whenever she has taken a key decision of significant public interest, the reason for that decision, alongside any supporting reports or evidence that helps explain how it was taken, has been published on the OPFCC website.

Since governance transfer, the Commissioner has published the following decision notices relating to North Yorkshire Fire and Rescue Service.

**TABLE 6: COMMISSIONER'S FIRE AND RESCUE DECISION NOTICES**

Date	Decision Notice Topic
31 <sup>st</sup> January 2019	Fire precept proposal 2019/20
5 <sup>th</sup> March 2019	2019-20 Service budget and Medium Term Financial Plan
2 <sup>nd</sup> April 2019	Service Pay Policy Statement 2019-20
11 <sup>th</sup> April 2019	Corporate Governance Framework
4 <sup>th</sup> July 2019	Chief Fire Officer - preferred candidate
22 <sup>nd</sup> July 2019	Chief Fire Officer - appointment
6 <sup>th</sup> September 2019	Fire and Rescue Plan 2019-21
11 <sup>th</sup> September 2019	Deputy Chief Fire Officer - appointment
9 <sup>th</sup> October 2019	Service - efficiency proposals
29 <sup>th</sup> November 2019	Transform 2020

## Complaints

North Yorkshire Fire and Rescue Service receives very few complaints. As such, since transfer, the OPFCC has only received one direct complaint. There is a system in place to work closely with Service colleagues to resolve any complaints received, with a single point of initial contact via the Commissioner's Policy and Scrutiny Officer (Fire and Rescue).

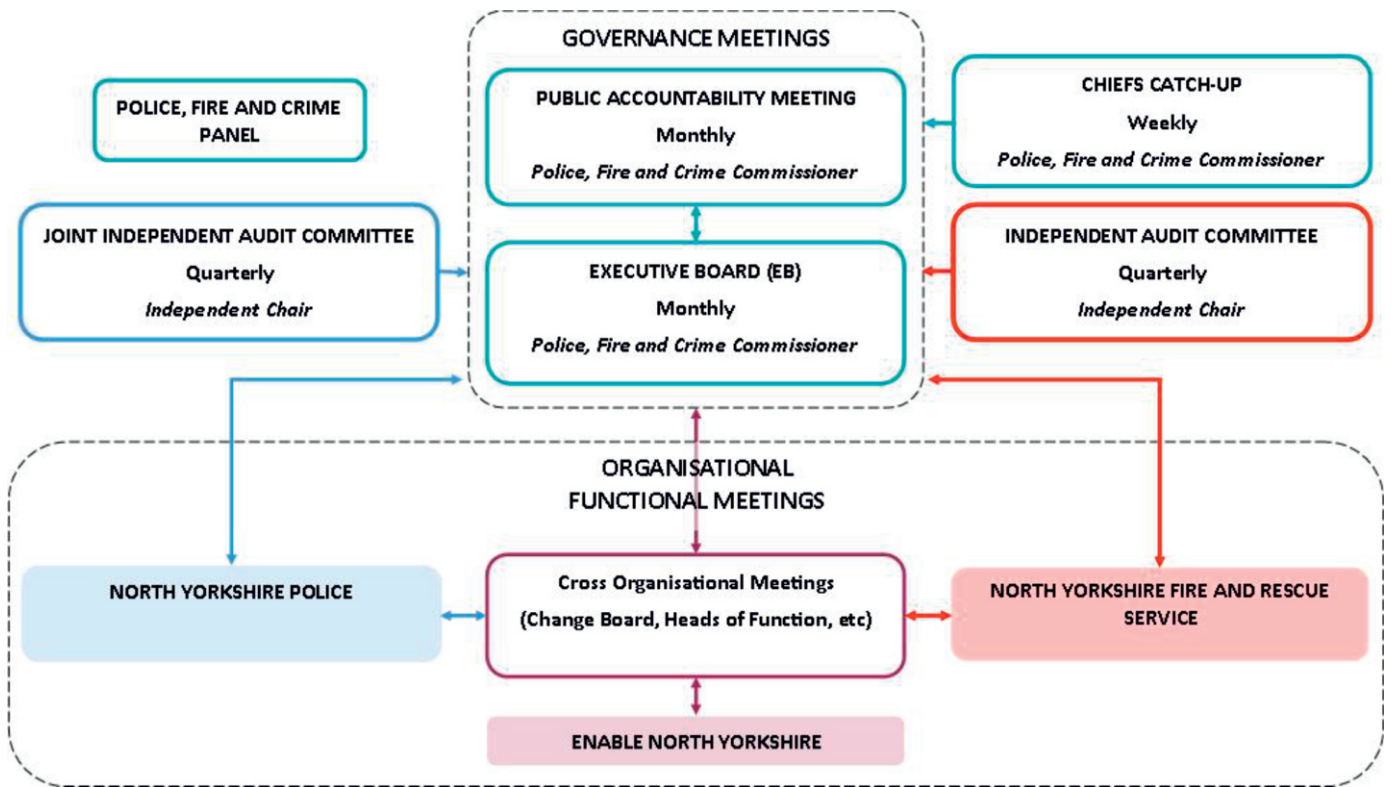
## Press releases and social media

Regular press releases are issued and social media is used effectively to promote the work of the Commissioner, advertise meetings and communicate topical and timely community safety messages. Since transfer, the OPFCC has published 30 press releases relating to North Yorkshire Fire and Rescue Service.

## ACCOUNTABILITY

In order to support effective decision making and to drive continuous improvement across both services, the Commissioner has established a robust governance and accountability structure. With a range of informal and formal meetings both in private and in public, the Commissioner can effectively hold both the Chief Constable and Chief Fire Officer to account for the delivery of their services. The relationship between all parties balances an open and constructive approach with robust challenge where necessary.

FIGURE 3: GOVERNANCE AND ACCOUNTABILITY STRUCTURE



NYFRS now joins the monthly Executive Board and Public Accountability Meetings (PAM). At Executive Board, the services discuss the development of their services to the public, helping to join up change programmes. Public Accountability Meetings are the forum in which the PFCC holds both Chief Officers to account for the service to the public.

Scheduled 'Ways of Working' meetings between senior members of the OPFCC and the Service's Principal Officer team are helping to improve the decision-making process as well as helping to maintain good working relationships.

The Commissioner holds regular meetings with representative bodies providing a private forum for open discussion of any pertinent issues. These meetings have proved invaluable in understanding workforce concerns, helping to identify and work through barriers to change.

**The Independent Audit Committee**

Replicating the approach to policing, the PFCC has established a separate Independent Audit Committee for the Fire and Rescue Service with an independent Chair, to support her and the Chief Fire Officer in ensuring the right governance and control mechanisms are in place to deliver a well-run fire and rescue service. The Committee reviews and scrutinises the adequacy and effectiveness of risk management, internal audit and control, and corporate governance arrangements, as well as reviewing financial management and reporting.

The Annual Governance Statement was published on 31st March 2019, concluding that the Commissioner's governance and decision-making arrangements are fit for purpose in accordance with the governance framework.

## POLICY AND SCRUTINY

In September 2018, the OPFCC's Policy and Scrutiny Officer (Fire and Rescue) started in post to support the Commissioner in developing her Fire and Rescue Plan and in scrutinising the performance of the Service. The Policy and Scrutiny Officer now attends the Fire Service's Corporate Management Board as a trusted advisor, clarifying the decision-making process between the Service and the Commissioner, ensuring timely communication and involvement of the Commissioner. In addition, she attends the Service's Health and Safety Committee, Risk Management Group and Equality, Diversity and Inclusion Group, providing feedback to the Commissioner on any matters of significance. By keeping abreast of national and local policy, specialist briefings are prepared for the Commissioner to support effective decision making and scrutiny.

Outside of North Yorkshire, as an active member of the independently chaired Fire Standards Board, the Commissioner contributes to national policy in overseeing the identification, organisation, development and maintenance of a set of professional standards for fire and rescue services in England.

Regular meetings with the three PFCC colleagues from Essex, Staffordshire and Northamptonshire, supported by the Association of Police and Crime Commissioners, provides a forum to share common challenges, opportunities and developments as a result of the new governance model and ensures PFCCs have a collective voice nationally. The APCC's Senior Policy Manager for Fire and Rescue provides a monthly fire scan looking four months ahead to highlight key dates, events, awareness days, campaigns and announcements.

In summer 2017, HMIC became HMICFRS taking on inspections of England's fire and rescue services assessing and reporting on their efficiency, effectiveness and leadership. North Yorkshire Fire and Rescue Service was inspected in June 2019 and the final report will be published on the 17 December 2019. The Commissioner and Chief Fire Officer will use the report to promote good practice as well as address areas for improvement.

### Aligned planning cycles

On transfer of governance, the Commissioner adopted an existing Integrated Risk Management Plan for 2016-21 and has produced a draft Fire and Rescue Plan for 2019-21. The timetable for renewing the Integrated Risk Management Plan was not aligned to the cycles of the Police, Fire and Crime Commissioner election, the Fire and Rescue Plan or the Police and Crime Plan.

Working with the Chief Fire Officer, a new planning cycle has been designed that aligns development and delivery of the Fire and Rescue and Integrated Risk Management Plans with the election cycle of the Commissioner. Elections take place in 2020, 2024 and 2028. A plan from 2021-25 followed by another from 2025-29 gives the incoming Commissioner one year to finish delivery of the current plan and to develop his or her Fire and Rescue and Integrated Risk Management Plans. They'd then have three years to achieve these plans before the next election.

It also aligns with the cycle of the Police and Crime Plan, currently running from 2017-21. This would allow the Police, Fire and Crime Commissioner to create a joint Police, Fire and Crime Plan if they wished.

**TABLE 7: A NEW FOUR YEARLY PLANNING CYCLE, ALIGNED TO PFCC ELECTIONS**

	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029
Risk analysis											
PFCC election											
Fire and Rescue Plan development											
Risk and Resource Model (IRMP) development											
IRMP and Fire and Rescue Plan delivery											
IRMP and Fire and Rescue Plan delivery											
IRMP and Fire and Rescue Plan delivery											→



## POLICE, FIRE AND CRIME PANEL

The Police, Fire and Crime Panel (PFCP) covers York and North Yorkshire and comprises: one elected representative from each of the district authorities; one from the County Council and two from the City of York. In addition, two individuals are co-opted as Independent "Community" Members.

With effect from 15 November 2018 the North Yorkshire Police and Crime Panel became the North Yorkshire Police, Fire and Crime Panel.

In relation to the Fire Service, the PFCP performs a scrutiny function, providing both support and constructive challenge to the Police, Fire and Crime Commissioner on the exercise of her functions as well as scrutiny of the Fire and Rescue Plan and Fire and Rescue Statement.

The Local Business Case highlighted concerns that the Panel may not have the capacity or resources to exercise a broader scrutiny role. To ensure the smooth running of Panels, meetings between senior OPFCC officers and the PFCP's Principal Scrutiny Officer take place to forward plan agendas to best meet the needs of Panel members. In November 2019, the Deputy Chief Fire Officer provided an informal Service briefing to Panel members to improve member understanding of the Service.

## PARTNER INVOLVEMENT

The Commissioner has attended a number of overview and scrutiny committees at County and District level to provide updates on the transfer of governance, particularly in relation to the outcomes of the Independent Baseline Assessment.

Partners have been consulted on the fire precept and on the Fire and Rescue Plan's priorities since transfer. Former members of the North Yorkshire Fire Authority over the last five years were contacted personally for their views.

For the first time, the Commissioner introduced stakeholder panels to the recruitment process for both the Chief Fire Officer and Deputy Chief Fire Officer. With the assistance of our recruitment partner at North Yorkshire County Council, panels were represented by senior police officers, health partners and elected members, providing a valuable partnership perspective on the future leadership of the NYFRS.

# CRITICAL SUCCESS FACTOR 3

## Transfer is deliverable

Extract from the original Local Business Case

### THE LOCAL BUSINESS CASE

**Test:** The governance option can be implemented successfully in terms of meeting the likely availability of funding, matching the level of available skills and capacity required for successful delivery and minimising delivery risks

This option represents a transformational change. Staff consultation will be required to engage on, and manage the change, including engagement with representative bodies.

There will be additional costs – a one-off implementation cost and ongoing costs. There will be an ongoing requirement for additional support to the OPFCC as part of the OPCC, to ensure that the PFCC can sustainably increase her remit.

The Police and Crime Panel has indicated that it is also likely to need additional funding for the additional remit. It is assumed currently that this will be funded by the Home Office as part of existing arrangements (if agreed), but no formal guidance has been received on this matter to date.

In addition, there will be one-off requirements for specialist implementation resources (e.g. project

management and consultation advice). Implementation challenges can be expected, due to transfer of staff, assets, contracts and liabilities to the new PFCC entity, although this is relatively low risk as there will be no changes to terms and conditions arising from the change of governance. There is also a risk that the complexity of novating PFI contracts to the new OPFCC could result in delay and additional cost, although an initial review of the contract suggests that this is low risk.

### ASSESSMENT AGAINST CSF 3

CSF 3. Is deliverable	Degree to which the option mitigates strategic risks (low / medium / high)			
	Meets the likely availability of funding	Matches the level of available skills and capacity required for successful delivery	Minimises delivery risks	Overall assessment
Transfer of functions (Governance)				M

**Key**

- High
- Medium
- Low

## CSF 3 – PROGRESS ONE YEAR ON

The transfer process was designed between the Office of the Police and Crime Commissioner and North Yorkshire Fire and Rescue Service, to ensure transfer was completed effectively and within the required deadline and budget. Whilst the Home Secretary approved the LBC in June 2018, the Statutory Instrument was not laid before Parliament until September, with actual transfer taking place in November. This allowed five months to prepare a robust transfer process to minimise the impact on the day to day running of the Service.

The relationship between the OPCC and the Fire and Rescue Service was integral to the successful transfer and transition process.

### PREPARATION PRE-TRANSFER

#### Setting out a clear Local Business Case

This was a collaborative process from the start. The design of the Local Business Case involved both the Fire and Rescue Service as well as the Police. Collection and analysis of data across both services enabled collaborative opportunities to be identified and provided the economic, commercial and financial considerations and benefits of each governance option. This approach importantly set up the 'modus operandi' for the future.

#### Risk register

The completion of a risk register at the time of writing the Local Business Case helped establish effective control measures. More detail about the risk register is provided in the following chapter: Critical Success Factor 4 - mitigates strategic risks.

#### Commissioner attendance of North Yorkshire Fire Authority meetings

During 2018, the Commissioner sought and was granted observer status as a non-voting co-opted member of the Fire Authority, attending the last three Authority meetings, recognising the benefit to business continuity. Once the Home Secretary had approved the LBC in June 2018, the Authority supported the Commissioner's request to participate in the recruitment of the Service's Principal Officers and the design of an interim Senior Management Team structure, acknowledging that she would soon become the employer.

#### Learning from Police Authority-PCC transfer and other PFCCs

Learning from the previous Police Authority transfer to the Commissioner was key to preparing for this transfer process. A Project Manager was appointed by the OPCC who had direct experience of that transfer, and the OPCC's Chief Finance Officer, who was in post for the Police Authority-PCC transfer in Cleveland, also

provided critical reflection. This allowed the Commissioner to draw upon tried and tested models of transfer and to put in place processes which she could be confident would ensure a smooth transfer.

Learning from the Police, Fire and Crime Commissioners in Essex and Staffordshire as to what worked well/not so well for them, helped further shape the North Yorkshire approach.

### SUPPORTING THE TRANSFER – STAFF AND PROCESS

#### Specialist staff support

The transition programme was governed by the Commissioner and managed by her Chief Executive with support from the OPCC, and in close liaison with NYFRS, NYFRA and NYP. A dedicated Project Manager and Business Analyst were appointed for a fixed term, specifically to help manage and assist with the transfer.

The purpose of the transition programme was to:

- scope and deliver all proposed aspects of the preferred option within the Local Business Case for the PCC to take on legal and overarching responsibility for the provision of the Fire and Rescue Service in North Yorkshire and the City of York.
- provide resilience for the PCC and the North Yorkshire Fire and Rescue Service in the short-term while the preferred option within the Local Business Case was being considered by the Secretary of State and in delivering the requirements set out in the Business Case in the longer-term should the Secretary of State approve it.

The structure and management of the transition programme ensured that the transition was:

- **Thorough** – using the Local Business Case and learning from national best practice to ensure a comprehensive analysis was carried out and requirements translated into the necessary changes in a timely and sequential manner.

- **Timely** – carrying out the necessary work to meet the deadlines set. Delivery dates set using the most accurate assessment until further clarification was provided by the Secretary of State following consideration of the Local Business Case and an independent assessment made
- **Cost Effective** – the programme was pragmatic with no more bureaucracy than necessary. Manageable workstreams drove specific activities and reported to a limited oversight hierarchy
- **Inclusive** – each workstream incorporated all relevant stakeholders to help drive and deliver the necessary activities to ensure a smooth transition. The transition was undertaken in close liaison and consultation with all relevant partners and where practicable with the public.

A Fire Governance Transition Board was established with representation from the OPCC and NYFRS Principal Officers. By meeting in advance, it ensured

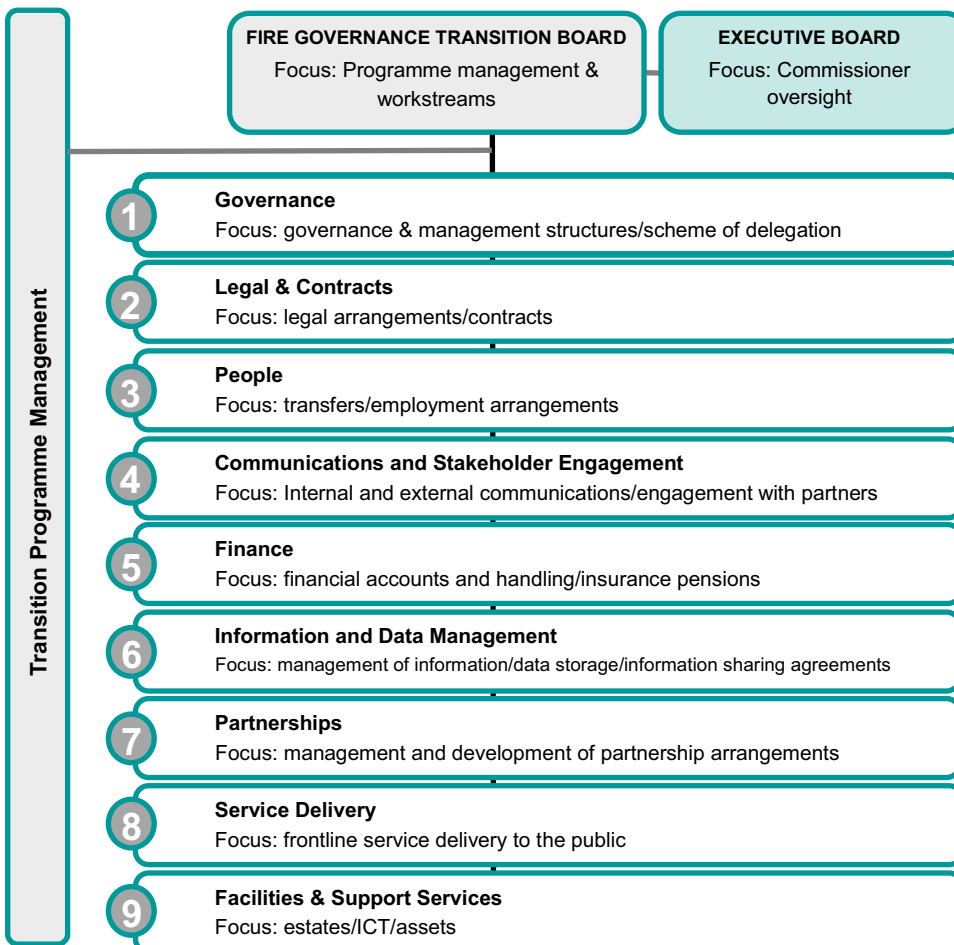
that transfer work could commence immediately after the Home Office decision, with a full understanding of the work and resource required.

The Board's objectives were to; agree transition programme objectives; key products; timetabling; staffing; report on workstreams and functional arrangements; set a communications strategy and resolve any arising issues. Clear lines of communication were maintained between the OPCC and NYFRS and good working relationships established.

**Transfer workstream model**

The diagram below illustrates the nine workstreams, led by senior managers from within NYFRS, reporting into the Fire Governance Transition Board. A shared intranet portal was established to allow transfer of workstream relevant documents from NYFRS to the OPCC.

**FIGURE 4: TRANSFER WORKSTREAM MODEL**



In addition to the fortnightly Fire Governance Transition Boards, weekly implementation meetings took place between the Programme Manager and NYFRS workstream leads. These reported into the Commissioner directly and through the Executive Board to allow the Commissioner to monitor progress and ensure projects were aligned across both police and fire services. These meetings provided the opportunity to understand any points of conflict throughout the transfer process.

## EMPLOYEE ENGAGEMENT

The Service arranged a number of engagement opportunities for staff to provide support for the transfer.

These included:

- Face-to face drop-in sessions held during September 2018, where the Fire Service's Head of Professional Standards, along with a representative from the OPCC, were in attendance to answer any questions about the transfer. The drop-in sessions were held at; York Fire Station, headquarters in Northallerton, Harrogate Fire Station, Scarborough Fire Station and the Training Centre in Easingwold. Staff advised they felt informed about the transfer process.
- Police, Fire and Crime Commissioner with Acting Chief Fire Officer roadshows provided a welcome and valuable opportunity for the PFCC to listen to staff views on the change of governance and future of their Service.
- A set of frequently asked questions was created and made available on the Service's intranet portal. Members of staff also had the opportunity to email the Chief Fire Officer's mailbox if they had any questions or queries.

The Commissioner made it clear that there would be no change to staff terms and conditions on transfer. All staff were notified of the transfer and the conditions of transfer by letter and a subsequent letter updated their contract with the details of their new employer.

Engaging with the Representative Bodies (Unions) across both services was essential to understand concerns and maintain an open dialogue. Meetings between the Commissioner and representative bodies took place leading up to transfer and continue regularly.

## FINANCE, DATA AND CONTRACTS

Financial accounts were transferred, and NYFRS and the new PFCC Fire and Rescue Authority was properly registered. All physical and data assets were automatically transferred under the Statutory Instrument. All contracts were notified of the change which is automatic under the Statutory Instrument.

## GOVERNANCE

A new code of corporate governance framework was drafted in advance of transfer, in line with statutory guidelines and the details of the Statutory Instrument, to be enacted at the point of transfer, and to ensure a seamless transition from the governance arrangements under the Fire and Rescue Authority to those that will be in place under the PFCC governance arrangements.

The framework sets out the key roles and responsibilities within the new governance arrangements and made it clear what powers and responsibilities would be delegated to which role(s) and the limits within which people could operate. This was a key document which enabled the organisation to continue to operate from the point of transfer.

As part of the transfer process, a governance information file was developed alongside each workstream to provide a record of the transfer, the documentation for transfer, and state of the Service at transfer. This enabled the Commissioner to develop her understanding of the Service, alongside the briefings provided by Principal Officers. This file will be refreshed in advance of the May 2020 PFCC elections and will serve as a useful introductory handbook to the new Commissioner.

In September 2018, the OPFCC's Policy and Scrutiny Officer (Fire and Rescue) started in post to support the Commissioner in developing her Fire and Rescue Plan and in discharging scrutiny responsibilities. Over the last 12 months, the OPFCC has developed a good understanding of the Service so that it can start to maximise the effectiveness of its appreciative approach to scrutiny.

## TIMELINESS

North Yorkshire Fire Authority was provided with regular transfer updates to their Full Authority meetings. The rigorous planning process and work across the OPCC and Fire Service helped reassure members that both organisations were confident that the transfer deadline would be met with no disruption to service.

On the 15th November transfer was completed without issue.

*"The Assistant Chief Fire Officer (Service Development) reported orally that, since preparation of the written report to this meeting, further progress had been made and consequently he had a high level of confidence that all necessary arrangements would be in place before 15 November 2018."*

Minutes, North Yorkshire Fire and Rescue Authority  
September 2018



# CRITICAL SUCCESS FACTOR 4

## Mitigates strategic risks

Extract from the original Local Business Case

### THE LOCAL BUSINESS CASE

**Test:** The governance option can mitigate strategic risks, including the loss of public trust, compromise to links with health, compromise to links with local government and risk of losing resilience

Closer integration and strategic joint commissioning of early intervention, prevention and response activities across fire and police, will present a greater opportunity for the police and other public sector partners to further benefit from the strong fire identity. It should also bring faster access to a greater number of resources, thus bringing further resilience.

Conversely, where the fire and rescue service are taking on more responsibilities as part of integrated services, there is a risk that activities are perceived to be involved in law enforcement and therefore there may be a risk of loss of trust – this risk would need to be measured on an individual collaboration business case basis, as there is no evidence yet from elsewhere that this is the case. While there may be a risk for fully integrated operational roles, public consultation in other areas has indicated that shared governance is not a public concern.

There is unlikely to be an impact on existing fire and police partnerships with other agencies and all collaboration opportunities would be subject to a detailed business case which would need to consider this risk. Conversely, closer fire and police governance may strengthen partnerships with other agencies or make it easier to engage with fire and

police, particularly around place-based early intervention and prevention. Also, it may present new opportunities for partners, for example around the estate.

However, there is a long term risk that strategic commissioning becomes more geared towards achievement of police objectives than fire and that local authority links, currently enabled by the role of councillors in the governance of fire and access to local authority resources, will be damaged. The PCC will need to put appropriate resource into maintaining links with local government (City of York, County and Districts). If this could be done in a joined up way, so that police and fire issues are considered together, it could improve emergency services links overall. A publicly-elected Police, Fire and Crime Commissioner would have a mind to the overall public need and the outcomes that should be delivered, incorporating both services at the same time. From a community safety outcomes approach they would be able to approach such discussions with a mind to how the two services can provide a response rather than thinking about each separate organisation.

There is also a risk that there is a perceived lack of separation and therefore lack of challenge between police and fire, particularly when it comes to allocation of cost. The PCC would need to put robust controls and independent scrutiny of the cost allocations in place.

### ASSESSMENT AGAINST CSF 4

CSF 4. Mitigates strategic risks	Degree to which the option mitigates strategic risks (low / medium / high)				
	Loss of public trust	Compromise to links with health	Compromise to links with local government	Risk of losing resilience	Overall assessment
Transfer of functions (Governance)					H

**Key**

- High
- Medium
- Low



## CSF 4 – PROGRESS ONE YEAR ON

### RISK REGISTER

The completion of a risk register at the time of writing the Local Business Case helped plan for the implementation of the new governance model by establishing robust control measures. The table below sets out the control measures developed for each risk and the final column provides a brief assessment as to their effectiveness on reflection.

**TABLE 8: RISK REGISTER AND ASSESSMENT OF SUCCESS OF CONTROL MEASURES**

Risk	Owner	Mitigation/Control Measures	Review of Effectiveness of Control Measures
Senior management distraction during the implementation of changes	OPCC CEO CC and CFO	<ul style="list-style-type: none"> <li>Appoint appropriate governance to monitor the progress of implementation and balance demands against other priorities.</li> </ul>	MITIGATED SUCCESSFULLY
Requirement to transfer fire staff employment to new Fire and Rescue Authority, via a statutory transfer, causes industrial relations problems	PCC and CFO	<ul style="list-style-type: none"> <li>Early and ongoing engagement with staff and representative bodies.</li> <li>Clear messaging that terms and conditions will be protected in the transfer.</li> </ul>	MITIGATED SUCCESSFULLY
That contract provisions, assets or liabilities are not well understood prior to transfer and therefore unforeseen costs arise post-implementation or unexpected delays in implementation occur	OPCC CEO	<ul style="list-style-type: none"> <li>A phase of due diligence will need to be undertaken during implementation, including detailed review of the PFI contract to ensure that novation clauses and existing commitments are understood</li> </ul>	MITIGATED SUCCESSFULLY
Oversight of fire performance is overshadowed by the requirements of police oversight.	OPCC CEO	<ul style="list-style-type: none"> <li>Design of OPCC arrangements to extend robust oversight to the Fire and Rescue Authority.</li> </ul>	ONGOING MONITORING New governance and accountability structure designed to ensure equal oversight of each service. Work continues to ensure fair representation within key meetings such as at the Executive Board. The order of Service presentations at PAMs are alternated to ensure fairness.
Insufficient public scrutiny of the PCC's performance in respect of Fire and Rescue by the Police and Crime Panel	PCP	<ul style="list-style-type: none"> <li>Identify the changes that would be required to the remit of the NY Police and Crime Panel, including discussions with the Chair of the Panel, to ensure robust scrutiny of the PCC in relation to Fire.</li> </ul>	ONGOING MONITORING Regular meetings with Panel secretariat and expert Service briefing provided within an informal setting.
PCC inherits plans for NYFRS part way through the financial year that have the wrong priorities or are unaffordable	PCC CFO	<ul style="list-style-type: none"> <li>PCC to seek observer status on NYFRA in advance of the changes to ensure visibility of planning processes.</li> </ul>	MITIGATED SUCCESSFULLY
Costs of change are higher than estimated	OPCC CEO CFO	<ul style="list-style-type: none"> <li>Costs are tested during the implementation phase and updated prior to submission of the business case to the Home Office</li> </ul>	MITIGATED SUCCESSFULLY

There was concern within the LBC that public trust in fire and rescue services may be compromised – with greater risk attached to the Commissioner governance option than others. The fire and rescue service has a “very strong trusted identity”<sup>8</sup> and it was felt by some that too close working or integration with the police could endanger this.

<sup>8</sup> Firefighters are second most trusted profession, IFSEC, 2015

Research has shown that all three blue light services have easily recognisable identities in the public, and media perception is that, although they may suffer ups and downs, the services are generally strong and respected and “retaining the best features of these identities whilst working towards closer collaboration and shared resources”<sup>9</sup> is important. The Commissioner has listened to staff concerns about a potential loss of identity and taken steps to mitigate this. Budgets are entirely separate, fire service operational activity must not blur into law enforcement and the independence of each brand has been maintained.

The Local Business Case identified a risk that broader links to wider community safety, health or social care partners may be compromised – some concern had been expressed that moving fire and police closer together may compromise collaboration with other partners, especially health. However, the PCC's responsibilities and commissioning powers also extend to community safety and changes to governance have not prevented joint community safety initiatives, or either service from collaborating with wider partners.

The Policing and Crime Act 2017 expressly provides for new collaboration agreements with ambulance services and initial discussions with the Yorkshire Ambulance Service indicated that simplified or shared governance between fire and police could improve joint working with health. Indeed, links with YAS have been strengthened with productive engagement around a place based Public Safety Service and the proposed multi-agency Public Safety Officers for Craven.

Concerns had also been expressed that links with local authorities and district councils may not be maintained, democratic challenge from a committee representing a wide range of opinions may be lost, and scrutiny and challenge of the single decision maker may vary. The governance and accountability structure established by the Commissioner provides robust challenge and scrutiny and in any public consultation, the Commissioner prioritises engagement with partners.

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<sup>9</sup> Research into Emergency Services Collaboration, Parry et al, 2015

## ECONOMIC ASSESSMENT

Extract from the original Local Business Case

### THE LOCAL BUSINESS CASE

A net present value (NPV) was calculated for ten years, Year 0 representing the point of transfer. Only financial benefits and costs were included in the NPV calculation. The Local Business Case identified a minimum of £6.6m in savings over 10 years.

Costs and benefits were assessed in terms of their 'direct' and 'indirect' impact on governance. 'Direct' costs and benefits were those which can be directly attributable to the governance change (i.e. associated with those activities through which the FRA or PCC exercise their governance and scrutiny roles). 'Indirect' costs and benefits are those which can be indirectly attributable to the governance change, such as a faster pace in delivery of collaboration.

- **Recurrent implementation costs** are associated with governance change and include additional governance resources required
- **One-off implementation costs** are associated with governance change and include project costs and specialist advice
- **Direct governance benefit** is related to the FRA no longer being required and some associated governance costs no longer being required

The table below represents the forecast net change versus baseline costs as a result of change in governance. Costs are shown as negative in **red** and savings are shown as positive in **black**.

### 10 YEAR ECONOMIC ASSESSMENT (£K)

Year	0	1	2	3	4	5	6	7	8	9	Total
Implementation costs - recurrent	-	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(64)	(576)
Implementation costs - one-off specialist support	(60)	(60)	-	-	-	-	-	-	-	-	(121)
Direct governance benefit	-	100	100	100	100	100	100	100	100	100	900
Shared estates	-	(280)	(30)	70	220	270	210	290	290	290	1,330
Shared senior management posts	-	25	50	250	250	250	250	250	250	250	1,825
Shared enabled support services	-	350	450	550	550	550	550	550	550	550	4,650
<b>Total</b>	<b>(60)</b>	<b>71</b>	<b>506</b>	<b>906</b>	<b>1,056</b>	<b>1,106</b>	<b>1,046</b>	<b>1,126</b>	<b>1,126</b>	<b>1,126</b>	<b>8,009</b>
<b>Total - direct</b>	<b>(60)</b>	<b>(24)</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>36</b>	<b>204</b>
<b>Total - indirect</b>	<b>-</b>	<b>95</b>	<b>470</b>	<b>870</b>	<b>1,020</b>	<b>1,070</b>	<b>1,010</b>	<b>1,090</b>	<b>1,090</b>	<b>1,090</b>	<b>7,805</b>
<b>NPV</b>											<b>£6.6m</b>

Detailed projected costs and benefits from the Local Business Case can be found at Appendix A.

## ECONOMIC ASSESSMENT - ONE YEAR ON

At the point of governance transfer in 2018, the Commissioner inherited a budget deficit of £1.2 million per year, increasing to £2.5 million recurring by the end of the Medium Term Financial Plan. The planned use of reserves to plug this gap would have seen them deplete by 2022/23. Within a month of transfer, the Commissioner set up a finance working group, to identify savings and reduce this deficit. The resulting savings, together with a reviewed approach to financial planning/spend should result in a balanced budget by 2021/22, without any detriment to frontline services. Furthermore, over the 10 year period covered by the local governance business case, savings are now forecast to reach £8 million across NYFRS and NYP, £1.4 million more than originally estimated.

The vast majority of the savings outlined in Table 9 below, over the 10 year period, have either been delivered and/or plans are in place for them to be delivered once the move to the shared headquarters is completed.

**TABLE 9: 10 YEAR ECONOMIC ASSESSMENT - ONE YEAR ON (£K)**

Year	0	1	2	3	4	5	6	7	8	9	Total
Implementation costs - recurrent	(25)	(42)	(42)	(42)	(42)	(42)	(42)	(42)	(42)	(42)	(405)
Implementation costs - one-off specialist support	(125)	-	-	-	-	-	-	-	-	-	(125)
Direct governance benefit	40	108	108	108	108	108	108	108	108	108	1,016
Shared estates	23	(29)	259	491	491	491	491	491	491	491	3,686
Shared senior management posts	39	238	277	277	277	277	277	277	277	277	2,491
Shared enabled support services	70	156	343	343	343	343	343	343	343	343	2,973
<b>Total</b>	23	432	945	1,177	1,177	1,177	1,177	1,177	1,177	1,177	9,636
<b>Total - direct</b>	(109)	66	66	66	66	66	66	66	66	66	486
<b>Total - indirect</b>	132	365	879	1,111	1,111	1,111	1,111	1,111	1,111	1,111	9,150
<b>NPV</b>											<b>£8.0m</b>

The recurrent implementation costs are lower than forecast. A full time Policy and Scrutiny Officer started in post in September 2018 but there has been little need for additional governance support.

The direct governance benefit now stands at £108k per annum, £8k more than forecast in the Local Business Case.

The costs in Year 1 linked to shared estates are lower than forecast and the savings associated with a shared estate will be significantly higher than projected with year on year savings climbing from £259k in Year 2 to £491k from Year 3. Moving the Fire and Rescue headquarters to the shared headquarters at Alverton Court and allowing the lease to cease at Coxwold

House equates to £450k of savings from these two lease properties alone by the end of 2020/21. The most significant cost in Year 1 is the one-off cost to create a car parking facility next to Northallerton Fire Station, providing parking for Fire and Rescue employees close to the new headquarters.

The business case set out plans to reduce expenditure on Senior Management Posts by £50k in Year 2 and by £250k per annum thereafter. Plans are in place to deliver £277k per annum from Year 2. The Commissioner's senior management review recommended a reduction in the number of Principal Officers from three to two and a review of salaries. There are now two Principal Officers (Chief Fire Officer and a Deputy Chief Fire Officer) and the Chief Fire

Officer salary has been reduced, in line with similar posts nationally, to an upper limit of £131k down from £161k. This new structure was implemented in November 2018 on retirement of the former Chief Fire Officer and an Assistant Chief Fire Officer. The Commissioner had already asked the Fire Authority to put on hold the Fire Service's plans for an additional, non-operational 'Head of Service Development' post prior to transfer, contributing to annual savings of £70k.

There is now a shared Section 151 Officer between Commissioner and the Fire Authority and one Monitoring Officer, delivering cashable savings.

As forecast, the change in governance has led to combined/reduced senior management roles across fire and police around corporate, non-operational roles. In July 2019, on retirement of NYP's Head of Estates, the Head of Technical Services for NYFRS was seconded to become the new Head of Estates, Transport and Logistics across both services. Further opportunities exist to share management roles within ENABLE and are currently being explored within the final stage of T2020, to be phased in line with existing staff retirements or natural attrition.

At present, we believe the creation of ENABLE North Yorkshire will not generate as much savings as forecast since the Fire Service's support functions are already very lean.

## 4 PROGRESS AGAINST YEAR ONE PRIORITIES

The Local Business Case set out five key priorities to be progressed on transfer. This chapter outlines progress against those priorities.

1. A Police, Fire and Crime Plan will be developed that would set out how efficiency and effectiveness could be improved in order to protect frontline services.

Between February and April 2019, over 1,000 residents, staff and partners, for the first time, helped to identify and shape the priorities for the Fire and Rescue Service via the Commissioner's open consultation. In July 2019, the Commissioner published her first Fire and Rescue Plan setting out her strategic vision, priorities and objectives for the Fire and Rescue Service to March 2021.

The Commissioner's Police and Crime Plan and her new Fire and Rescue Plan set out a joint vision of providing an exemplary service and a shared mission to keep people safe and feeling safe in North Yorkshire and the City of York. Priorities across the two plans are aligned, as are the collaborative opportunities allowing for speedier progression.

The four draft priorities were strongly endorsed by 75% of respondents.

- **Caring about the vulnerable**  
To provide services that will best protect the most vulnerable people in our community and in doing so, make them safer
- **Ambitious collaboration**  
To maximise opportunities to work jointly with partners and to provide a more effective, efficient and proactive community safety service
- **Realising our potential**  
To create an inclusive work environment and a positive supporting culture where we provide our people with the equipment, IT, skills and capacity to effectively prevent and respond to incidents
- **Effective engagement**  
To increase the trust and confidence in our Service, involving, engaging and consulting our communities on the services we provide and delivering the best possible service

Service progress against the outcomes set out in the Fire and Rescue Plan will be assessed within the Commissioner's Public Accountability Meetings, where the Chief Fire Officer will be held to account for their effective and efficient delivery.

By aligning the planning cycles for both the Police and Crime Plan (for NYP), the Fire and Rescue Plan (for NYFRS), and the Integrated Risk Management Plan with that of the Police, Fire and Crime Commissioner election cycle, the incoming Police, Fire and Crime Commissioner can consider whether he or she would wish to produce a single Police, Fire and Crime Plan 2021-2025.

2. Business cases, including staff and union consultations, would be developed for community safety and prevention services and to create a third entity to provide enabling services to NYP and NYFRS.

### ENABLE North Yorkshire

Launched on 1st April 2019, this major collaboration brings together the business support functions for North Yorkshire Police and North Yorkshire Fire and Rescue Service. It will ensure the support services which enable both emergency services to operate come together in serving the public, ensuring both services are in the best possible position to respond to future demands and challenges. ENABLE signifies a significant step forward on collaboration since governance transfer.

ENABLE is headed up by a Managing Director, accountable to both the Chief Constable and the Chief Fire Officer for providing the services needed to support their respective operations.

ENABLE is based at the shared service headquarters at Alverton Court, Northallerton. A phased transfer of the location of 75 members of staff from NYFRS HQ at Thurston Road commenced in August 2019 and will be completed by the end of 2019.

### Public Safety Service Model

The pilot of the 'Public Safety Service' model in Craven will bring partners together to tackle local community safety issues, building on the experience from the established Community Safety Hubs. Work is being progressed to create a new hub in Craven bringing together a wider range of partners to create a single approach to community safety across police and fire, local authorities and health, tailored to the needs of people and communities.



The hub will focus on primary prevention, early intervention and problem-solving activities across organisations, helping to reduce demand, identify unmet complex and service-spanning needs and improve community resilience, connecting vulnerable people to healthcare providers, social services, alcohol and mental health advice services, housing services, appropriate voluntary sector organisations, town planning and community groups.

We had hoped to introduce Public Safety Officers during the first quarter of 2018/19 but this has been delayed due to further work on funding and contractual matters. The aim is to have two Public Safety Officers in post in Craven by the end of the financial year 2019/20.

Their primary role will be to support the community safety prevention agenda. Tasked by police, fire, health and council via the hub, the PSOs will carry out either domestic or business risk reduction visits through intelligence and targeted information, to reduce the risk to the most vulnerable in our communities. By feeding intelligence on vulnerability back to the hub, referrals can then be assigned specific targeted interventions by the actual services.

The PSOs would also provide resilience to blue-light services response. PSOs will undertake operational elements of the on-call Firefighters role, with Community Safety Accreditation Scheme (CSAS) powers from the Chief Constable, to contribute to maintaining and improving community safety, and will be trained as Ambulance Emergency First Responders.

The whole Public Safety Service Model, including the role of the Public Safety Officer will be evaluated during 2020/21 with a view to further roll-out across the county.

3. The estates strategies of both organisations would be reviewed to develop a single 'community safety estate' strategy that would seek to bring in other partners as well.

Through ENABLE, the estates strategies of the two organisations are being brought together. The now Joint Head of Estates for NYP and NYFRS has drafted a joint estates strategy, considered at the Commissioner's Executive Board in November. This strategy aligns the estate across the two services and progresses merger of stations in locations where it makes sense. Whilst not finalised, this has not prevented progression of sharing the estate with improvements within the Joint Transport and Logistics Hub and the move to a shared headquarters completed by December 2019.

This strategy will also seek to include other community safety partners.

4. Data analysis and the implementation of data sharing structures would be put in place to strengthen collaborative working.

New data sharing and structures and ways of analysing data are being explored to enable the two services to learn from one another and identify how they can best protect the most vulnerable in our society. The Fire Service, Police and Ambulance have started sharing data to map vulnerability, demand and response.

The Service wishes to ascertain which people are most vulnerable, socially excluded, or otherwise at risk, so it can ensure a home visit takes place to conduct a full safety assessment. To do so, it has shared information with other local public-sector entities, including YAS and NYP. This will be used to determine the locations of the proposed Public Safety Officers.

Once the Fire Service staff move to headquarters, data teams will be co-located, greatly increasing resilience and encouraging data sharing as a matter of course between the two organisations.

5. A change review would be initiated to start discussions around the future senior management structure of NYFRS to identify where efficiencies might be made. Wherever possible this will be achieved through negotiation and natural attrition in the first instance.

The three Principal Officers at North Yorkshire Fire Service either retired or were about to retire on transfer. Shortly after transfer, an interim structure and salary revisions were introduced with a reduction in Principal Officer posts from a Chief Fire Officer and two Assistant Chief Fire Officers to a Chief Fire Officer and a Deputy. The introduction of ENABLE, and changing business needs has led to a review of the two Area Manager portfolios, with some responsibilities transferring to ENABLE 'Heads of'. A new Senior Leadership Team structure is being considered by the Commissioner, to be implemented by early 2020. Any changes will ensure savings compared to the original senior management structure are realised year on year.

The NYFRS Head of Technical Services is now Joint Head of Estates, Transport and Logistics across the two services.

There is now one Monitoring Officer and S151 Officer for the Commissioner and Fire Authority. This has brought significant benefits through streamlined decision making, comprehensive business awareness of risks and strategic priorities across both services, as well as cashable savings.

## 5 LESSONS LEARNED

Reflecting on the transfer process itself and the implementation of the new governance model, this chapter outlines lessons learned.

**Setting out a clear Local Business Case.** A collaborative process from the start. The design of the Local Business Case involved Police and Fire and Rescue (data analysis and collection) to identify collaborative opportunities.

**Learning from others.** Governance transfer is complex. The transfer process was designed in line with learning from the Police-Authority-PCC transfer and from other areas where a PFCC was already in place such as Essex and Staffordshire.

**Listening to staff.** There was genuine worry about job security and the 'independent' future of NYFRS with a clear need to reassure staff that the independence of the two services would be maintained and that the two services would continue to have separate budgets - savings from one service would not fund the other. The staff roadshows and representative body meetings arranged by the Commissioner provided opportunity for staff to raise any concerns about the change in governance, promoting trust between the workforce and Commissioner. These meetings also provided the Commissioner with a good understanding of what was working well and what needed to change from a staff perspective.

**Independent sector expertise.** Commissioning an independent Baseline Assessment by a former Chief Fire Officer from outside North Yorkshire provided an external perspective on how well the Service was operating as well as identifying what immediate action was required. Preparing this assessment in advance of transfer meant that, at the point of transfer, the Commissioner could make some urgent decisions quickly.

**Timely decision making.** Some decisions could not be delayed. The inherited financial situation was such that immediate remedial action was required to review the Medium Term Financial Plan to stop the unsustainable use of reserves. Other decisions would wait until a thorough understanding of NYFRS had been established. Too much change early on would have been very unsettling and potentially knee-jerk hence the decision to delay revisions to the Service Delivery Model to a point when finances were more stable and predictable.

**Transparent and consistent communication.** Regular staff updates on transfer and on any decisions made should be transparent. All Decision Notices of significant public interest should be published on the Commissioner's website.

**Define ways of working.** The change in governance marked a new way of working with NYFRS. A new Corporate Governance Framework and Scheme of Delegation, formed between the OPFCC and NYFRS, provided early clarity around roles and responsibilities. Having this framework in place soon after transfer helped ensure the day to day business was conducted effectively. That said, adjusting to the new governance model requires time to bed in. Accessibility of the Commissioner and her staff has helped embed the new governance model with OPFCC colleagues, regarded as trusted advisors to the Service.

**Clarity of vision.** It's important for the Commissioner, Chief Fire Officer and Chief Constable to share a vision, with shared priorities across the Police and Crime Plan and Fire and Rescue Plan and agreed opportunities to collaborate, putting the public first.

**Strong, cross-organisational relationships.** The relationship between the Commissioner, Chief Fire Officer and Chief Constable is critical if the change in governance is going to work. A collegiate approach in North Yorkshire is working. Close working relationships that are based on both formal structures like governance boards and public scrutiny meetings, that also include more informal, ad hoc working arrangements work well.

## 6 WHAT THE FUTURE HOLDS

### FUTURE PRIORITIES

#### A new Commissioner

In May 2020 a new Police, Fire and Crime Commissioner for North Yorkshire will be elected. This has created uncertainty but the embedded governance framework and established ways of working will help ensure a smooth handover. The Police and Crime Plan and Fire and Rescue Plan will have one year left to run before a new Commissioner presents his/her priorities for both services over the next four years. The current Commissioner's focus until May 2020 will be to ensure both services achieve the outcomes set out in her current plans.

#### HMICFRS inspection report

In summer 2017, HMIC took on inspections of England's fire and rescue services, assessing and reporting on their efficiency, effectiveness and leadership. The inspections are proportionate, risk based and result in graded judgements for each of the three areas above. The gradings are; inadequate, requires improvement, good and outstanding.

The first inspection of North Yorkshire Fire and Rescue Service commenced in June 2019 with the final report to be published in December 2019. The Service welcomed the inspection with positive feedback from the inspectors around the openness and honesty of the workforce during the inspection period. The report will highlight good practice within NYFRS as well as areas for improvement. Any areas for improvement will be priorities for the Service to progress and improvement will be overseen by the Commissioner.

In January 2020, Her Majesty's Chief Inspector of Fire & Rescue Services, Sir Tom Winsor, will produce his annual assessment of the efficiency and effectiveness of fire and rescue authorities in England.

#### A new Risk and Resource Model 2021-25

The Commissioner has asked the Service to commence an assessment of local risks and set out how effectively resources can be used in response to those risks, at the same time providing value for money to the local taxpayer – this is called an Integrated Risk Management Plan (renamed as the Risk and Resource Model in North Yorkshire). The starting point will be to create a risk profile. The outcome of the review will ensure that, within the available resources, the Service has the right people,

in the right place, at the right time and with the right equipment and skills, to deliver the best service, leading to a safer North Yorkshire and City of York.

The Chief Fire Officer has identified opportunities to transform on-call (retained) pay and contracts to improve recruitment and retention, and ultimately availability, invest in fleet, equipment, estates and training to modernise the Service and increase efficiency (productivity) and effectiveness on wholetime stations.

The new Commissioner will undertake public consultation on proposed changes to the Risk and Resource Model over 2020, prior to any implementation.

### FUTURE FINANCES

#### Investment

Since governance transfer, significant savings and efficiencies have been identified whilst managing to protect essential frontline services. The budget should break even by 2021/22, one year earlier than expected. However, this has meant the suspension of the capital investment programme, preventing much needed modernisation of our estate, fleet and equipment. We need to extend our savings to free up funds to invest in vehicles, equipment, Personal Protective Equipment, buildings and training.

Around 70% of the Net Budget Requirement for the North Yorkshire Fire and Rescue Service is funded by the local precept. Normally, this would provide financial resilience, as decisions around the Government Grant have less of an impact than in those areas that are funded by a higher proportion by Government Grants. However, the recent Local Government Finance Settlement suggests that a referendum fire precept cap of 2% (a 1% reduction compared to last year) will be applied to fire authorities in 2020/21 equating to a budget cut in North Yorkshire of around £215k.

The Commissioner has lobbied hard for precept flexibility which would provide time and space to manage savings in a more sustainable way and to drive through longer term efficiencies. The outcome of the Local Government Finance Settlement will not likely be known until the new year.

## **National pay dispute**

Resolution on the national pay dispute is needed. The national Fire Brigade Union and fire service employers have agreed to pause discussions surrounding the broadening of firefighters' roles. Whilst a 2% pay rise for 2019/20 was agreed this year, there is further negotiation required around any increase in pay linked to broadening the role.

Non-standard changes locally, can be rejected, often due to being in conflict with these pay negotiations. These need to be dealt with as early as possible to lift this impasse and frustration.

Any further funded offer from employers is likely to be dependent on the government's next spending review.

## **OTHER OPPORTUNITIES**

### **Diversity**

The HMICFRS inspections have highlighted a lack of diversity across fire services in England. In North Yorkshire, less than 5 percent of firefighters are female with 0.5 percent only from a Black, Asian and Minority Ethnic (BAME) background. Through the Service's Equality, Diversity and Inclusion Group, work is underway to improve recruitment processes and further develop staff networks and links to underrepresented groups. Learning from North Yorkshire Police's successes in improving diversity, the services will work together to share best practice and resources in this area.

### **Evaluating new ways of working**

We will better evaluate the outcomes of our work, including our collaborations. Over the next 12 months we will identify tangible outcomes linked to improving the effectiveness and efficiency of our new ways of working, ensuring better outcomes for the public. This will include an evaluation of ENABLE, the Public Safety Service, and our prevention activities more widely, as well as the joint Estates Strategy, including the shared headquarters.

## DETAILED COSTS AND BENEFITS FROM THE LOCAL BUSINESS CASE - ECONOMIC ASSESSMENT

### IMPLEMENTATION COSTS - RECURRENT

Type	Cost / benefit	£	Assumption
Recurrent	Implementation cost	£34k	1 FTE of a Policy and Scrutiny Officer
Recurrent	Implementation cost	£30k	Additional governance support costs in OPCC
Total recurrent implementation costs		£64k	

### ONE-OFF IMPLEMENTATION COSTS

Type	Cost / benefit	£	Assumption
One-off	Project manager	£49k	1 FTE, based on NYP pay scales
One-off	Project support	£29k	1 FTE, based on NYP pay scales
One-off	Consultation advice	£25k	An estimate of external support required
One-off	Audit fees	£17.5k	An estimate, if additional accounts are required
Total one-off implementation costs		£121k	

### GOVERNANCE BENEFIT

Type	Cost / benefit	£	Assumption
Recurrent	Governance benefit	£76,130	Member direct costs (based on 2015/16 costs) NYFRA no longer exists
Recurrent	Governance benefit	£27	Member training (based on 2015/16 costs) NYFRA no longer exists
Recurrent	Governance cost	£1,023	Bank charges (based on 2015/16 costs)
Recurrent	Governance cost	£31,927	External audit fees (based on 2015/16 costs)
Recurrent	Governance cost	£7,210	Finance SLA (based on 2015/16 costs)
Recurrent	Governance benefit	£1,153	Legal services SLA (based on 2015/16 costs) NYFRA no longer exists. Monitoring Officer becomes part of OPCC Monitoring Officer
Recurrent	Governance benefit	£21,488	Committee services (based on 2015/16 costs) NYFRA no longer exists
Total recurrent governance benefit		£98,797	

## SHARED ESTATES

Type	Cost / benefit	£	Assumption
Enabled	Capital cost	£2.016m	<p>Based on projects in Thirsk, Acomb, Stokesley, Easingwold, Ingleton/Bentham, Grassington, Leyburn, Pateley Bridge and Headquarters.</p> <ul style="list-style-type: none"> <li>Savings arise from shared estates projects reviewed by NYFRS and NYP</li> <li>Conservative estimate of £290k recurring saving possible, if projects are delivered</li> <li>Expected reduction in overall running costs for both services of around 25-30% against current costs</li> <li>HQ benefit is a conservative assumption of £130k per annum saving (from 2021/22), equivalent to half the current lease cost of Fire HQ and no saving in running costs</li> </ul>
Enabled	Capital benefit	£1.458m	
Enabled	Net revenue benefit	£1.107m	
Enabled	HQ benefit	£780k	
Total benefit		£1.329m	

## SHARED SENIOR MANAGEMENT POSTS

Type	Cost / benefit	£	Assumption
Enabled	Shared SMT benefit	£250k	<ul style="list-style-type: none"> <li>Possible to have 1 Treasurer and 1 Monitoring Officer across both organisations</li> <li>Possible to have Principal Fire Officer Structure that has 2 Principal Fire Officers instead of 3 as some governance work currently undertaken would be absorbed by OPCC.</li> <li>These assumptions will need to be tested as part of a review of the Senior Management Structure to ensure that they are deliverable and sustainable</li> <li>Any changes are proposed to be phased in line with business need</li> </ul>

## SHARED SUPPORT SERVICES

Type	Cost / benefit	£	Assumption
Enabled	Benefit at 4% p/a	£555,102	Based on total support service costs across both organisations of £13,877,542.



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## North Yorkshire County Council

### Corporate and Partnerships Overview and Scrutiny Committee

2 March 2020

#### North Yorkshire Refugee Resettlement

#### 1 Purpose

- 1.1 To provide an update and progress report on the resettlement in North Yorkshire of people resettled under the Syrian Vulnerable Persons Resettlement Scheme (VPRS) and persons resettled under the Vulnerable Children's Resettlement Scheme (VCRS).
- 1.2 To provide an overview of the government's global resettlement scheme.

#### 2 Background

- 2.1 The number of refugees worldwide is calculated to be the highest ever at 25.9 million<sup>1</sup> and since 2017 refugees have made up almost one per cent of the global population for the first time in modern history. Low to middle income countries host 85% of the world's refugees under UNHCR's mandate<sup>2</sup> with nine of the top ten refugee-hosting countries being in developing regions<sup>3</sup>.
- 2.2 Between July 2016 to February 2018 the eight local authorities in North Yorkshire received 238 refugees (50 families) combined under the Home Office's Syrian Vulnerable Persons Resettlement Scheme (VPRS) and Vulnerable Children's Resettlement Scheme (VCRS).
- 2.3 In June 2019 the Home Secretary wrote to Parliament to reaffirm the commitment to the resettlement of refugees beyond the conclusion of the VPRS and VCRS in 2020. A letter outlining the details was subsequently sent to Council leaders to seek local authorities' participation in the new scheme, as attached in **Appendix A**. Further details about the new scheme (provisionally called the 'global resettlement scheme') is attached in **Appendix B**.
- 2.4 All North Yorkshire local authorities have confirmed their commitment to participate in the global resettlement scheme over the next four years.

<sup>1</sup> Source: UNHCR 19 June 2019

<sup>2</sup> UNHCR Global Trends 2017

<sup>3</sup> UNHCR Global Trends 2018

### 3 Original offer, numbers arrived and remaining in North Yorkshire: VPR and VCRS schemes

- 3.1 The numbers resettled were 209 persons under the VPRS and 29 persons under the VCRS (238 refugees in total).
- 3.2 The reception of refugees took over 18 months. Families were typically two adults and three children. Most of the children were primary school aged. As at February 2020, of those originally resettled in North Yorkshire seven families (34 persons) have moved out of the county. Reasons for moving have been primarily to live closer to relatives or to take-up employment rather than because of the rural nature of the county; the latter risk was managed by resettling a number of families within the same town in each district. The nationalities of the VCRS families resettled were Sudanese and Iraqi. The resettlement schedule is contained in **Appendix C**.
- 3.3 Just under 30% of the families included family members with complex needs. The complexity of need varied widely from people with some mobility issues to severely disabled adults and children including children with genetic disorders and life-limiting illnesses.

*Table 1: UNHCR resettlement categories by case (VPR and VCRS) – North Yorkshire*

	<b>Survivors of violence &amp; torture</b>	<b>Legal and/or physical protection needs</b>	<b>Children and adolescents at risk</b>	<b>Lack of Foreseeable Alternative Durable Solutions</b>	<b>Women and girls at risk</b>	<b>Medical needs</b>
Primary submission category	12	19	11		1	3
Secondary submission category	5	16		10		

- 3.4 Experience has shown that where the bulk of families were received early on within a district's resettlement programme, it provided a stronger network for the families from the start. It was also easier to manage resources than having arrivals stretched out across several flights. However, the local housing supply and suitability of an area to resettle the families ultimately determined the pace of resettlement.
- 3.5 The commitment given by Prime Minister David Cameron in 2015 to resettle 20,000 people under the VPRS by May 2020 is on course to be achieved. As at the end of September 2019, the United Kingdom had resettled 18,252 persons under the VPRS. Corresponding figures in relation to the commitment given by the government to resettle 3,000 persons under the VCRS were 1,712 as at the end of September 2019.

Table 2: Resettlement of refugees under the VPRS (September 2019)

Region/nation	Total resettled	% of national total	Population (2018 Mid-Year Estimates)	Resettled refugees per 100,000 population
East Midlands	818	4%	4.804,149.000	17
East of England	856	5%	6.201,214.000	14
London	913	5%	8.908,081.000	10
North East	1,365	7%	2.657,909.000	51
North West	1,643	9%	7.292,093.000	23
Northern Ireland	1,561	9%	1.881,641.000	83
Scotland	3,048	17%	5.438.100.000	56
South East	1,745	10%	9.133.625.000	19
South West	1,373	8%	5,599,735.000	25
Wales	1,219	6%	3.138,631.000	39
West Midlands	1,800	10%	5.900,757.000	31
<b>Yorkshire and The Humber</b>	<b>1,911</b>	<b>10%</b>	<b>5.479,615.000</b>	<b>35</b>
Total	18,252	100%	66.435,550.000	28

Table 3: Regional breakdown under the VCRS (September 2019)

Region/nation	Total resettled	% of national total	Population (2018 Mid-Year Estimates)	Resettled refugees per 100,000 population
East Midlands	32	2%	4.804,149.000	1
East of England	89	5%	6.201,214.000	1
London	78	5%	8.908,081.000	1
North East	288	17%	2.657,909.000	11
North West	130	8%	7.292,093.000	2
Northern Ireland	0	0%	1.881,641.000	0
Scotland	246	14%	5.438.100.000	5
South East	76	4%	9.133.625.000	1
South West	134	8%	5,599,735.000	2
Wales	88	5%	3.138,631.000	3
West Midlands	153	9%	5.900,757.000	3
<b>Yorkshire and The Humber</b>	<b>398</b>	<b>23%</b>	<b>5.479,615.000</b>	<b>7</b>
Total	1,712	100%	66.435,550.000	3

## 4 Support provided

### 4.1 Housing

4.1.1 A range of housing types were used in North Yorkshire including private rented, social housing and council housing.

4.1.2 We were fortunate in being able to make use of vacant council houses with existing adaptations to allow us to resettle families with physically disabled children or adults - one of the key selection criteria that the UNHCR/Home Office uses for prioritising families to come to the UK.

4.1.3 Where private housing was used to the exclusion of social or council housing this presented a number of problems:

- Private rented properties were usually unaffordable for the families either due to rents in excess of the Local Housing Allowance, and/or benefit capping which meant in some areas that families received a maximum of £0.50p per week in benefit toward their housing costs. This resulted in the relevant district council having to pay the rents via the Discretionary Housing Payments Scheme.
- The predominant use of private rented property slowed down the speed of the resettlement significantly in terms of numbers of families being able to be accepted from each flight.
- The use of private rented property proved to be more time-consuming in relation to the day-to-day management of the properties beyond Year 1 when the Refugee Council's housing support function no longer continues but where families might require ongoing tenancy support.
- Due to the affordability issues, some families have had to move after their first 12 months in the UK. House moves result in additional costs and can also be unsettling for the families concerned, coming on top of the upheavals they faced prior to being resettled in the United Kingdom.
- There are less opportunities to resettle families with complex mobility needs using private rented property. This is because private landlords understandably might be unwilling for the necessary adaptations to be made to their property.

4.1.4 45 properties were used for the initial resettlement of the families, with three bedroomed properties in greatest demand. There have subsequently been 13 house moves within the county, involving either the whole family or individual family members moving out of the original property allocated to them.

## 4.2 Schools

4.2.1 North Yorkshire County Council's English as an Additional Language Service has supported the children and families to settle into school, including providing language support through recruiting Arabic-speaking specialist advanced teaching assistants. This support to school continues into Years 2 and 3 of a child's arrival in the UK. This is at a reduced level but schools have the optioning of buying in additional support if required.

4.2.2 In most cases children have been able to secure a school place at their nearest school or an alternative school within their local catchment area. Delays of getting children in school have arisen where a child had a disability or a complex need, or in relation to secondary school aged-children, particularly post-16 year olds in Scarborough district, due to the poor level of ESOL<sup>4</sup> provision at the local FE

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<sup>4</sup> ESOL is used to describe English language learning and teaching to learners whose first language is not English. There are five different levels of ESOL, from beginner to intermediate. The first three levels are for learners without much prior knowledge of English, and are called Entry 1 (E1), Entry 2 (E2), and Entry 3 (E3). Level 1 and Level 2 ESOL are intermediate ESOL classes, and learners gain



college. York and Harrogate Colleges have however provided a comprehensive level of ESOL provision and also access to ‘taster’ vocational courses for the post-16 year olds able to enrol there.

- 4.2.3 A number of schools are continuing to rely heavily on the County Council’s English as an Additional Language Service to communicate back to the parents of the refugee pupils, a wide range of school-related matters. This includes parents who have been in the UK for over three years now but still have a relatively poor understanding of the English language. This is not sustainable beyond Year 1 of a family’s arrival particularly as the EAL service has reduced capacity. Schools will continue to be encouraged to make more direct contact with the parents and arrange their own means of communication including interpretation and translation services if required. Schools are provided with an education grant from the Home Office in Year 1 of a family’s arrival and can also access other funding streams such as EAL funding and Pupil Premium allowing them to support refugee pupils for the long term.

#### 4.3 ESOL provision and adult education

- 4.3.1 Eight hours per week tailored, pre-entry ESOL provision for the SVP and VCRS adults continues to be provided by the County Council’s Adult Learning Service in each district.

- 4.3.2 The Refugee Council has commented that compared with some of the larger metropolitan areas in the region with more established Arabic-speaking communities, the refugee families in North Yorkshire have more quickly built up their understanding of the English language and their independence. However, progress has still been slow due largely to the number of clients who received a limited education in their native country with some being illiterate or semi-literate in Arabic (chiefly those classed as ‘pre-pre entry’ in the table below).

Table 4: ESOL levels of clients of working age remaining in North Yorkshire (December 2019)

<b>ESOL Level (Initial)</b>	<b>No. of refugees</b>	<b>ESOL Level (31/12/19)</b>	<b>No. of refugees</b>
Not Categorised	0	Not Categorised	11
Pre-Pre Entry	21	Pre-Pre Entry	0
Pre-Entry	62	Pre-Entry	12
Entry 1	11	Entry 1	28
Entry 2	3	Entry 2	33
Entry 3	0	Entry 3	9
Level 1 +	0	Level 1 +	4
<b>Total</b>	<b>97</b>	<b>Total</b>	<b>97</b>

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the same level of qualification as the General Certificate of Secondary Education or GCSEs. ESOL learners move up from level to level covering language skills in the areas of reading, writing, speaking and listening. <http://www.leeds.gov.uk/LearningEnglishInLeeds/Pages/LevelsAndClasses.aspx>

- 4.3.3 Progress has also not been helped for a minority of clients due to them missing some of the ESOL classes. The reasons for non-attendance (for the month of December 2019) included:

*Table 5: Reasons provided by clients for their non-attendance at ESOL classes (December 2019)*

<b>Reason</b>	<b>Number</b>
Working hours conflict with ESOL	11
Caring responsibilities	2
Long-term illness	7
Mobility / Age	7
No reason provided	1
<b>Total</b>	<b>28</b>

- 4.3.4 A priority is for the County Council's Employability Adviser to work closely with the ESOL Tutors and DWP Work Coaches to increase attendance at ESOL classes of those clients who can attend. Included in this will be a reduced provision of funding for training for clients of working age who are not maintaining their commitment to attend ESOL classes without good reason. Attendance at ESOL classes is also part of the 'client commitment' with the DWP and so non-attendees could be sanctioned.
- 4.3.5 Alongside the ESOL sessions, ICT sessions are being provided for those adults who have a better understanding of English. Volunteers are also providing informal English conversation sessions in the home in some of the districts. Once the adults reach an appropriate level of understanding of English they are able to access vocational courses.

#### 4.4 Employment

- 4.4.1 The Refugee Employability Project was set up to help clients of working age prepare for, and gain, meaningful and sustainable employment, and move towards full integration and independence.

*Table 6: Employment/volunteering figures as at 30 January 2020*

	<b>Q3</b>	Q2	Comments
Total Number of Refugees	<b>219</b>	218	+1 (Scarborough)
Employability Adviser Clients	<b>81</b>	80	+1 (Scarborough)
Refugees in Full time employment	<b>9</b>	7	1 new, and 1 increased from part-time employment
Refugees in Part time employment	<b>7</b>	7	1 moved to full-time employment, and 1 new
Refugees post 16 in education/training	<b>5</b>	4	Part-time courses (increased to 3) Apprenticeships (2)
Refugees who have caring responsibilities	<b>11</b>	10	Updated number taken from Quarterly ESOL reports
Refugees in volunteering / work experience	<b>30</b>	31	Estimated

- 4.4.2 Numerous job applications have been submitted through online job boards, such as Indeed and Total Jobs but none have resulted in successful appointments. More success is achieved through using local networks, such as local volunteers and the clients' own knowledge of their immediate geographical area.
- 4.4.3 Whilst multiple applications through online job boards will continue, they need to be supplemented by a more focused approach. For example, clients are now asked to make the Employability Adviser aware of any local opportunities that they see and these can then be investigated. By the client sending a picture of a company logo, or job advert, the Employability Adviser can make contact with potential employers.
- 4.4.4 The focus currently is on small local employers, organisations where previous placements have been achieved, and any Sector Based Work Academy (SBWA) initiatives. The SBWA initiatives are quite often promoted through local DWP offices so the Employability Adviser is liaising closely with the Employer Engagement team in each DWP office in order to maximise opportunities.
- 4.4.5 Initial support can be provided for employers taking on a refugee client, including interpretation support, to cover aspects of induction and health and safety training.
- 4.4.6 Business plans, through the New Enterprise Allowance (NEA) scheme, have been approved for two new catering business start-ups and funding is now being sought for both.
- 4.4.7 A number of the clients have construction experience and so work placements are being explored to this end with a range of employers. Two clients who have a good understanding of English have been introduced to the DWP for provision on the CSCS card<sup>5</sup> training in English. The delivery time will be subject to suitable numbers and available courses. Work continues to establish CSCS card training in Arabic with the main issue being the provision of suitable, translated, training materials.
- 4.4.8 Clients continue to have success completing both their theory and practical driving tests and this improves mobility with better access to training and eventually work. To aid this driving theory sessions were provided over a number of weeks across North Yorkshire. One individual, who successfully passed his driving test in November 2019, is now being put forward for a Light Goods Vehicle (LGV) provisional licence. Once secured he will be able to commence his LGV training and return to his previous work as a lorry driver.
- 4.5 Integration support: The Refugee Council
- 4.5.1 The Refugee Council provided the Integration Caseworker support for Year 1 of all the SVP and VCRS arrivals in North Yorkshire. This included named caseworkers

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<sup>5</sup> A Construction Skills Certificate Card is required in the United Kingdom for individuals working on construction sites in order to prove that they have the appropriate training and qualifications for the job they do on site. Applicants are required to sit an exam in order to be awarded a CSCS card.

for each family, supporting individuals and families in all aspects of their new life in the UK and working towards independence.

- 4.5.2 The families resettled in North Yorkshire no longer have caseworkers due to them being here longer than 12 months but instead they have access to the Refugee Council's 'Independent Living Advice' Service. This is tailored to the needs of each family and their potential for doing things for themselves. Some families, particularly those with caring responsibilities and with a relatively poor understanding of the English language will continue to require support throughout their five-year resettlement period in the United Kingdom.
- 4.5.3 Drop-in sessions continue to be held in each district but instead of being weekly (as they were in the first year of a family's arrival) they are either fortnightly or monthly depending upon the district concerned.
- 4.6 Health and social care services:
- 4.6.1 NHS Clinical Commissioning Groups (CCGs) are reimbursed by the Home Office for primary and secondary health care costs for the first 12 months after a family has arrived in the UK.
- 4.6.2 North Yorkshire County Council can claim back funding for up to five years from the Home Office for 'exceptional costs' relating to an individual's social care support.
- 4.6.3 A number of clients, adults and children, have accessed counselling support through the regional children and families' specialist mental health service provided by Solace and Haven. This provision allows clients to be fast-tracked for support from trained counsellors experienced in supporting survivors of persecution and exile and with access to arabic-speaking interpreters. The Home Office grant provided to local authorities and match-funding from the Home Office has funded this service to date but going forward the Clinical Commissioning Groups will be asked to use some of the Home Office grant that they receive to fund this service.
- 4.6.4 It is evident that parts of the health service need to improve access to interpreting and translating services. The health service like other parts of the public sector has legal duties to reduce inequalities to its clients. NHS England guidance<sup>6</sup> states that patients should be able to access health services in a way that ensures their language and communication requirements do not prevent them receiving the same quality of healthcare as others. Patients requiring an interpreter should also not be disadvantaged in terms of the timeliness of their access. Healthwatch North Yorkshire recently undertook research<sup>7</sup> which highlighted the difficulties in accessing interpreter services within healthcare systems in North Yorkshire (GPs, pharmacies and dentists). The findings were based on insights from more than 40 refugees in North Yorkshire and a mystery shopping exercise at 25 pharmacies.

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<sup>6</sup> <https://www.england.nhs.uk/wp-content/uploads/2018/09/guidance-for-commissioners-interpreting-and-translation-services-in-primary-care.pdf>

<sup>7</sup> <https://healthwatchnorthyorkshire.co.uk/wp-content/uploads/2020/01/HWNY-Refugee-Report-January-2020.pdf>

4.6.5 Where there have been instances of no access to interpreters being provided these have been flagged up with the local Clinical Commissioning Group in the past. Hospitals have also been contacted directly. Clients are now being advised to make a formal complaint, as all other avenues have been exhausted. However, clients are generally reluctant to do so.

#### 4.7 Volunteers / volunteering opportunities:

4.7.1 There continue to be a number of good examples of individuals and communities in North Yorkshire working together with the resettlement agencies to support refugee integration in North Yorkshire, helping the families to feel part of the community in which they live in. This has included amongst other things volunteers providing conversational English, either through volunteer-run conversational groups or one-to-one English tutoring in the home. The latter has been supported with funding from the Home Office resettlement grant to enable volunteers to have access to a teacher to provide advice and guidance on learning strategies.

#### 4.8 Years 2 to 5 support

4.8.1 A longer term framework to support the families beyond the initial 12 months of the programme remains in place in North Yorkshire through utilising the Years 2 to 5 resettlement grant from the Home Office.

The Years 2 to 5 support comprises:

- continuation of English language classes
- employment advice and apprenticeship opportunities
- continuation of support to schools
- scaled down integration support ('Independent Living Advice')
- supporting volunteering opportunities and community groups
- specialist mental health support
- scaled down housing support to assist with house moves
- legal advice on applying for permanent leave to remain in the UK

## 5 **Global Resettlement Scheme**

5.1 The global resettlement scheme will incorporate the current resettlement programmes (SRP, VCRS and Gateway Protection Programme) into one new 'global resettlement scheme'. The process for accepting refugees will be the same, with the UNHCR making recommendations to the Home Office, and the final decision resting with local authority. The grant provided to local authorities and clinical commissioning groups (CCGs) will be funded at the same rate and for the same period as the current VCRS and VCRS schemes (five years for local authorities and one year for CCGs).

5.2 In 2020/21, the first year of the new scheme's operation, the government will aim to resettle 5,000 refugees. The numbers of refugees to be resettled on a yearly basis beyond 2020/21 is thought to be unlikely to change significantly and the funding is

expected to remain the same, though it is not known yet whether inflationary cost pressures will be taken into account in subsequent years.

- 5.3 The geographical focus will be broadened beyond the Middle East and the North Africa region. This will also enable the addition of a new process for emergency resettlement, allowing the UK to respond quickly to instances of heightened protection need, providing a faster route to protection where lives are at risk. The numbers of refugees brought under this emergency aspect of the new scheme is expected to be a minor part of the overall number of refugees to be resettled.
- 5.4 The Community Sponsorship scheme will continue and the numbers will be in addition to the 5,000 refugees to be resettled in 2020/21 by local authorities. (To date in North Yorkshire one family (four persons) has been resettled in Craven district under the Community Sponsorship scheme and is not included in the numbers resettled by North Yorkshire local authorities.)
- 5.5 In the Yorkshire and Humber region, the regional partnership agreement between Migration Yorkshire and local authorities is likely to remain the same under the new scheme. The Refugee Council will continue to provide the integration support in 2020/21, as planned, but a procurement exercise is expected to take place at the same time to appoint an integration support provider for the longer term. This exercise will also provide an opportunity to re-model the existing integration support if required. Other regional commissioned support will also be reviewed.
- 5.6 All local authorities in North Yorkshire have now signed up to participate in the new scheme. Consequently, approximately 200 refugees will be resettled in North Yorkshire between 2020/21 to 2023/24. This equates to one percent of the envisaged national programme of 5,000 persons per year. This is the same 'fair share' approach used for the VCRS and VCRS programmes, given that the county's population is just under one percent of the UK population. Using this approach, the number of refugees that will be resettled in each district is shown in the table below.

*Table 7: ONS 2018 population estimates*

<b>District</b>	<b>2018 population mid-year estimate by district</b>	<b>Percentage of North Yorkshire population by district</b>	<b>Anticipated number of refugees to be resettled in total 2020/21 to 2023/24</b>
Craven	56,832	9.3	19
Hambleton	91,134	14.8	30
Harrogate	160,533	26.1	52
Richmondshire	53,244	8.7	17
Ryedale	54,920	8.9	18
Scarborough	108,736	17.7	35
Selby	89,106	14.5	29
<b>Total</b>	<b>614,505</b>	<b>100</b>	<b>200</b>

- 5.7 The schedule of arrivals across each of the seven North Yorkshire districts will begin with resettling families in no more than three districts at a time. Resettlement will be over the space of several months in the initial districts before moving on to the remaining districts once the former have reached their agreed resettlement number. For practical reasons it is not envisaged that a district will spread out its resettlement of families across each of the years 2020/21 to 2023/24 as this would be more difficult to manage and require a greater level of resource on an ongoing basis.
- 5.8 Future arrivals will continue to be resettled in towns to ensure that they have access to the appropriate support services. If new arrivals are resettled in the same town in the district as our existing refugee families, it will help to consolidate a support network between families and possibly improve outcomes.
- 5.9 Careful consideration will be taken locally as to regards the country and cultural background of refugees being resettled under the new scheme from each flight and in relation to existing immigrant communities. Resettling only one family from a separate cultural background to other refugee families heightens the risk of that family moving out of the county. In the first few years it is anticipated that most of the refugees will continue to be from Syria due to the continuing crisis there.

## **6 Recommendation:**

- 6.1 That the Corporate and Partnerships Overview and Scrutiny Committee notes the progress of the refugee resettlement programme in North Yorkshire.

Neil Irving  
Assistant Director - Policy, Partnerships and Communities  
North Yorkshire County Council

Author and presenter of report:  
Jonathan Spencer  
Project Manager North Yorkshire Refugee Resettlement

17 February 2020

### Appendices:

**Appendix A:** Letter to Council Leaders, dated 17 June 2019, from the Rt. Hon. Caroline Nokes MP, Minister of State for Immigration: Home Office, and Lord Bourne of Aberystwyth, Minister for Faith: Ministry of Housing, Communities and Local Government.

**Appendix B:** UK Resettlement Scheme: Note for Local Authorities, August 2019 (Home Office)

**Appendix C:** North Yorkshire Refugee Resettlement Schedule: July 2016 to February 2018





Home Office

Rt Hon Caroline Nokes MP  
Minister of State for Immigration

2 Marsham Street  
London SW1P 4DF  
[www.gov.uk/home-office](http://www.gov.uk/home-office)

Council Leaders  
Local Authorities in England

Sent via email



Ministry of Housing,  
Communities &  
Local Government

Lord Bourne of Aberystwyth  
Minister for Faith

17 June 2019

Dear Leader,

We are writing to inform you that the Government has today reaffirmed our commitment to the resettlement of refugees in anticipation of the conclusion of our three largest resettlement schemes in 2020. We hope this is welcome news to you and your communities. The success of resettlement in the UK to date has been achieved by working in partnership with over 300 local authorities. Many of you are participating in delivering the current schemes and your work to support and integrate these vulnerable refugees is greatly appreciated.

In the statement the Home Secretary has made to Parliament, he set out the Government's ongoing commitment to resettlement. We will consolidate our biggest schemes into a new global resettlement scheme. Our priority will be to continue to resettle the most vulnerable refugees, identified and referred by UNHCR. Under the global resettlement scheme, we will broaden our geographical focus beyond the Middle East and North Africa region and will also be better placed to swiftly respond to international crises in coordination with global partners.

In the first year of operation, the UK will aim to resettle in the region of 5,000 of the world's most vulnerable refugees. Ensuring local authorities can provide resettled refugees with the help and support they need to successfully integrate in their new communities remains central to our approach. Hence, we are happy to confirm we have retained current funding rates for those arriving in the first year of the scheme, meaning a local authority will continue to receive the five-year tariff of £20,520 for each refugee with a top-up (for year 1) for children aged 3-18 years.

A new process for emergency resettlement will also be developed, allowing the UK to respond quickly to instances of heightened protection need, providing a faster route to protection where lives are at risk. We will work closely with local authorities, regional Strategic Migration Partnerships and other partners over the coming months as we develop the new arrangements.

The Community Sponsorship scheme, which enables community groups to directly welcome and support refugees in the UK, will continue. Building on the experience of delivering the current schemes and the significant contribution of our community sponsors, a key part of our resettlement offer will be that those resettled through our community sponsorship and Mandate routes will be in addition to our yearly, global commitment.

We would like to take the opportunity to acknowledge the invaluable contribution that many of you have made in delivering the current commitments. We hope you will continue to support refugees under the new scheme. In addition, we would welcome pledges of support from authorities yet to engage in resettlement. Our officials will be in touch soon to provide more detailed information on how you can support us. In the meantime, if you would like to discuss any aspect of this letter, please do not hesitate to contact us.

Over the last few years, we have together made significant progress in our contribution to global resettlement efforts. We recognise the positive difference that local authorities, regional Strategic Migration Partnerships, communities, and community sponsors have made to the lives of refugees resettled in the UK. It is right that we today reaffirm our ongoing commitment to supporting refugees, and to working with partners to find a longer-term approach to refugee protection – an approach that restores dignity and offers refugees a viable future.

We are copying this letter to regional Strategic Migration Partnerships.

*Yours ever  
Caroline*

**Rt Hon Caroline Nokes MP**  
**Minister of State for Immigration**  
**Home Office**

*Yours ever  
Lord*

**Lord Bourne of Aberystwyth**  
**Minister for Faith**  
**Ministry of Housing, Communities and**  
**Local Government**



Home Office

# UK Resettlement Scheme

## Note for Local Authorities

August 2019

## Introduction

Resettlement continues to be a critical protection tool, providing a pathway to safety for refugees who can no longer remain in their host-countries. With the support of local government, the UK's existing schemes have provided safe and legal routes for tens of thousands of people to start new lives. However, the global need for resettlement continues to grow; the United Nations High Commissioner for Refugees (UNHCR) estimate that in 2020 more than 1.4 million refugees will need to be resettled.

The UK Government confirmed on 17 June 2019 its ongoing commitment to resettlement, announcing plans for a new UK Resettlement Scheme which will see thousands more refugees provided with a route to protection when it begins in 2020. This briefing note sets out further information for local authorities about the new scheme.

## Overview

The UK Resettlement Scheme will consolidate the existing Vulnerable Persons' Resettlement Scheme (VPRS), Vulnerable Children's Resettlement Scheme (VCRS) and Gateway Protection Programme which will all naturally come to an end in 2020. This new scheme will be open to refugees identified by UNHCR to be in need of resettlement to the UK because of their vulnerability and does not have a specific geographical focus. Those resettled through our Community Sponsorship and Mandate routes will be in addition to our yearly, global commitment.<sup>1</sup>

We are looking for the ongoing support and participation of local government across the UK and encourage local authorities to submit their offer of places for the new scheme as soon as possible. We continue to warmly welcome interest from those authorities who have yet to take part in resettlement.

We are planning a smooth transition, with arrivals under the new scheme expected to start once arrivals under the VPRS are completed; this is estimated to be in Spring 2020. We expect there to be a seamless continuation of arrivals between the current and the new scheme. This is in line with feedback from regional Strategic Migration Partnerships (SMPs) on what LAs would find most helpful in transition.

We would also welcome conversations with local authorities who are able to offer additional places under the current schemes. This would enable authorities to maintain momentum with their arrivals and ensure consistency in provision of services as we move towards the start of the new scheme.

## Eligibility

The new UK Resettlement Scheme will continue to be based on vulnerability, with refugees assessed for resettlement by UNHCR against their [resettlement submission categories](#). We

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<sup>1</sup> More information on all current resettlement schemes can be found [here](#)



will work closely with UNHCR to identify vulnerable refugees from around the world where resettlement to the UK offers the best durable solution.

### **Who we will resettle**

In the first year of the new scheme it is anticipated that the caseloads of refugees we resettle will continue to look broadly similar to those we see under our existing schemes, with the majority coming from the MENA region. We already operate in line with UNHCR's global priorities and will continue to do so, however over time the nationalities of refugees resettled may change in response to world events and the global context.

As the profiles of those we resettle change, the Home Office will continue to work closely with SMPs and local authorities to match refugees to housing availability in areas that can provide appropriate support to those we resettle.

### **Numbers**

In the first year of operation of the new scheme, the UK will aim to resettle in the region of 5000 refugees with those arriving through our Mandate and Community Sponsorship routes additional to this number. The Government remains committed to resettlement, and decisions on the number of refugees to be resettled in subsequent years will be determined through future spending rounds.

Year on year, resettlement volumes are likely to fluctuate according to the flow of referrals from overseas and the availability of suitable accommodation and support in the UK.

### **Role of Local Authorities**

Local authority participation in the new scheme will continue to be voluntary, with refugees allocated in the same way as currently under VPRS and VCRS. We will continue to work closely with local authorities across the UK to ensure they are able to support those who are allocated to them for resettlement under the new scheme.

Local authorities will retain the same role in the community sponsorship process and we would ask they continue to engage positively with groups that come forward to participate in community sponsorship.

### **Role of Regional Strategic Migration Partnerships**

SMPs will continue to provide support to local authorities to help deliver resettlement, including coordinating offers of places and planning for the arrival of refugees, together with sharing of expertise and knowledge to enable councils to resettle successfully.

### **Funding Package**

The funding package available under the new scheme will mirror that currently paid under VPRS and VCRS; a local authority will receive a five-year tariff of £20,520<sup>2</sup> for each refugee with an additional education tariff (for year one) for children aged 3-18 years. Additional

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<sup>2</sup> £20,000 in Northern Ireland as social care element paid directly to Department of Health

funding will continue to be made available, on a case by case basis, for exceptional costs incurred by local authorities, including; property adaptations, void costs for larger (4 bed) properties, special educational needs, and adult social care.

The post-arrival resettlement support requirements of local authorities will mirror those issued under the VPRS and VCRS.

### **Health Care**

All refugees referred for potential resettlement undergo a health assessment through International Organization for Migration as part of the resettlement process. The findings of these assessments will continue to be passed to local authorities considering resettlement of that individual to ensure suitable treatment/support can be provided upon arrival.

As with existing schemes, resettled refugees under the new scheme will be able to access healthcare via the NHS free of charge. The £2600 per refugee for health costs made available to healthcare providers under the VPRS and VCRS will continue to be available under the new scheme.

### **Access to Benefits and Work**

Refugees resettled under the new scheme will have access to mainstream benefits and services to enable their integration; work continues across Government to ensure services meet the needs of refugees. They will also have immediate and unrestricted access to the labour market.

### **English Language**

Refugees will continue to be able to access English language tuition that is fully funded through the Adult Education Budget (AEB) if they are unemployed and in receipt of certain benefits; or if they are in an area that is part of the AEB low wage trial and they earn less than £16,009.50. Children in full time education will receive English language support in schools.

Additional language funding of £850pp will continue to be available in year one. This is intended to boost local capacity and supplement mainstream AEB provision. As with the current scheme, Home Office will include outcomes associated with this additional funding in the annual funding instruction. Local authorities will also continue to be able to use the tariff to further top up costs of language provision. Funding will also be available to help with child care costs in relation to attendance at ESOL classes.

### **Community Sponsorship**

The community sponsorship scheme has been a real success and is established now, with a broad range of experience, training and support available to community groups, through Reset, the organisation established to build capacity amongst potential community sponsors. Reset currently provides services including in-person training, a range of online material to support groups in preparing their application and supporting a family <https://training-resetuk.org/> an application checking service and a post-arrival advice

line. Resettlement are also developing resources for local authorities about the process of providing consent.

***Please get in touch with your Resettlement Contact Officer and regional SMP lead if you require further information, and to discuss your offer of new resettlement places under the current or future scheme.***



## Appendix C

## North Yorkshire Refugee Resettlement Schedule: July 2016 to February 2018

<b>Month</b>	<b>Syrian Vulnerable Persons (SVP) numbers by district</b>	<b>North Yorkshire Districts</b>
<b>2016</b>		
July	34 (11 = Craven / 9 = Harrogate / 14 = Selby)	Craven, Harrogate and Selby
September	3 (Craven)	Craven
October	30 (8 = Selby / 22 = Harrogate)	Selby and Harrogate
November	6 (Harrogate)	Harrogate
<b>2017</b>		
January	52 (10 = Craven / 17 = Harrogate / 25 = Scarborough)	Harrogate and Scarborough
April	5 (Selby)	Selby
June	28 (6 = Craven / 11 = Ryedale / 11 = Scarborough)	Craven, Ryedale and Scarborough
July	5 (Ryedale )	Ryedale
<b>2018</b>		
January	40 (22 = Hambleton /18 = Richmondshire)	Hambleton and Richmondshire
February	6 (6 = Hambleton)	Hambleton

<b>District</b>	<b>SVP minimum agreed number</b>	<b>Actual nos. initially resettled (exc. births in UK)</b>	<b>Remaining in North Yorkshire (exc. births in UK)</b>
Craven	25	30	15
Hambleton	28	28	28
Harrogate	50	54	48
Richmondshire	16	18	13
Ryedale	16	16	16
Scarborough	36	36	36
Selby	26	27	27
Totals	197	209	183

<b>Month</b>	<b>Vulnerable Children's Resettlement Scheme (VCRS) numbers by district</b>	<b>North Yorkshire Districts</b>
<b>2017</b>		
April	7 (2 families) = Harrogate	Harrogate and Selby
June	5 (1 family) = Ryedale	Ryedale
July	5 (1 family) = Selby	Selby
September	4 (1 family) = Craven	Craven
<b>2018</b>		
January	8 (2 families) = Richmondshire	Richmondshire

<b>District</b>	<b>VCRS minimum agreed number</b>	<b>Actual nos. initially resettled (exc. births in UK)</b>	<b>Remaining in North Yorkshire (exc. births in the UK)</b>
Craven	3 (1 family)	4 (1 family)	0
Hambleton	4 (1 family)	0	0
Harrogate	7 (2 families)	7 (2 families)	7
Richmondshire	2 (1 family)	8 (2 families)	4
Ryedale	2 (1 family)	5 (1 family)	5
Scarborough	0	0	0
Selby	4 (1 family)	5 (1 family)	5
Totals	22	29	21

**NORTH YORKSHIRE COUNTY COUNCIL**

**CORPORATE AND PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE**

**2<sup>nd</sup> March 2020**

**WORKFORCE UPDATE**

**1.0 Purpose of Report**

1.1 This report updates the Overview and Scrutiny Committee on the County Councils changing workforce, presents key workforce data, details progress on the Workforce Plan and sets out some key priorities for the year ahead.

**2.0 A Smaller Workforce**

2.1 The County Council's workforce (non-schools) has now stabilised following recent years of steady reduction as below:

	<b>Headcount</b>	<b>FTE</b>
Q4 2012/13	8580	5841
Q4 2013/14	7715	5665
Q4 2014/15	7650	5680
Q4 2015/16	7545	5632
Q4 2016/17	7420	5607
Q4 2017/18	7462	5611
Q4 2018/19	7264	5480
Q3 2019/20	7239	5492

The number of restructures and the impact on staff numbers has reduced, although there are still further restructures and reductions ongoing and into mid-2020.

2.2 The overall non-schools FTE has stabilised in the last year, although the reduction since 2010 has been some 13% (19% on headcount). Reductions are higher if schools staff are included, however this includes schools converting to academies where numbers are removed from NYCC records and do not represent an actual reduction in the education workforce.

2.3 Further reductions have been offset by:

- an increase in posts funded by government grants/initiatives e.g. Better Care Fund in HAS
- new traded service contracts, generating additional income, have increased workforce numbers in some areas.

2.4 Since April '14 which was the start of the 2020 change programme nearly 6,000 staff have been involved in redundancy consultation in over 150 restructures resulting in 976 staff displaced (meaning their job no longer exists in the structure) and 562 redundancies, of which over half (310) were voluntary, and 20 retired.

2.5 In terms of the cost of redundancies, £5m allocated in 2010 for One Council redundancy and pension strain costs was spent over the 4-5 year programme with a

further £5m allocated in 2014/15 for 2020 restructure costs and a final £2m for remaining and potential restructures allocated in this year's budget. Exit payments are determined by relevant legislation notably the Redundancy Modification Order as applicable to local government and the LGPS if staff made redundant are over 55. Additional payments via available discretions are not used. Spend compares well with other authorities and the average redundancy cost per leaver is £12k compared to £30 - £50k in neighbouring authorities.

### 3.0 Supporting our Workforce through Change

3.1 Increasingly there is less opportunity to redeploy staff due to the more specialist and senior posts affected and so support to staff has focussed on achieving 'good outcomes'. Where we know employees' destination at leaving:

- 42% found other employment
- 30% did not wish to seek new work
- 2% self-employed or in further training
- 4% unemployed and still seeking work

So 96% achieved a positive alternative outcome and staff feedback shows they value highly the support they receive.

### 4.0 Recruitment, Turnover & Attendance

4.1 **Composition:** the non-schools' workforce continues to see a slight increase in the proportion of men with a split of 22.7% male and 77.3% female. The proportion from a BAME background is 1.9% (against a local population figure of 2.7%) and the proportion of staff declaring a disability is 2.1%. However there remains over 2,000 staff who have chosen not to declare their ethnicity and over 3,000 have not identified if they have a disability, highlighting further work needed to enable accurate information collection and reporting. The average age of the workforce is 47.3 years and the proportion of under 25 year olds is 4.4%. 43.5% of staff are full time so 56.5% working part time and many of these having multiple part time roles. The characteristics of the top 5% of earners are 67.5% female (LGA benchmark 48.8%), 2.1% BAME (LGA benchmark 3.7%) and 1.2% with a disability (LGA benchmark 2.5%).

4.2 **Sickness Absence:** sickness absence is measured in number of FTE days lost and was 7.38 in 2018/19, one of the lowest in the country and amongst the best for county councils nationally. In the first 3 quarters of 2019/20 this has increased with a projected 2019/20 figure of around 8 days. This continues to compare favourably with other public sector benchmarking data with the most recent (2018) Local Government Association workforce survey reporting an average 8.8 days lost per FTE across Local Government and private sector employers with over 5,000 staff averaging around 9 days lost.

In 2018/19 working days lost to long term sickness absence accounted for 59.5% of all absence. The most common causes of sickness absence remain stress, depression and anxiety related (32.1%), musculo-skeletal problems (18.5%) and infections (12.3%). Some of the increase in mental illhealth related absence appears to be a change in how the reason for absence is recorded, with a decrease in most other causes of sickness absence, which suggests improved confidence about reporting and seeking help for mental health issues.

The most recent LGA information on the proportion of staff absent due to stress, depression and anxiety is 3 years old (29% in 2017), but other councils are reporting that this accounts for an increasing proportion of absence within their own councils in the last years or so it this national figure is expected to have increased.

The county council as an employer is working hard at supporting staff to be resilient and is providing support with mental health issues, much of which is in response to life challenges and events. Support is available through the employee assistance programme provided by Health Assured via a 24 hour access to a confidential helpline with life management and personal support available for all employees and immediate family members living at the same address. In addition, the programme provides self assessment tools and plans for staff with regard to lifestyle issues such as diet, smoking and exercise as well as information, articles and advice.

The County Council has signed up to be a Mindful Employer, an NHS initiative, to demonstrate that as an employer we are committed to creating a supportive and open culture, where colleagues are able to talk about mental health and feel safe in disclosing mental health conditions, confident that they will be supported.

Ongoing is on a programme to improve the experiences of employees with mental ill-health, as well as a wider preventative approach to improve the mental health and wellbeing of all the workforce. As an employer NYCC wants to be able to provide non-judgmental and proactive support to staff who experience mental health issues and ensure managers have information and training to support staff in the workplace. Mental health awareness and skills training for managers is now available via the Learning Zone.

Work is underway to enable, facilitate and support colleague led, self-sustaining, workplace wellbeing initiatives across the County. Activities range from physical activity, crafts and awareness raising / support groups on a range of topics as raised by colleagues, as well as promoting healthy lifestyle changes and public health campaigns. Specific activities include work to establish support groups on a range of topics identified through feedback and roadshow events such as Alcohol awareness, Menopause, Mental Health, caring for someone with Dementia / Autism, the introduction of physical activity groups as suggested/requested by colleagues including yoga, running, walking, martial arts, a pilot for the use of e-bikes in Harrogate initially. These take place outside work time and these and other support initiatives such as the Health Assured programme are funded from employer NI and pension contributions savings resulting from workforce salary sacrifice schemes.

In addition, the promotion of annual public health and other national health and wellbeing campaigns such as Dry January, Red January, Stoptober, One You, Cancer Awareness etc to the workforce is ongoing.

#### **4.3 Turnover and recruitment:**

Turnover was 13.4% in 2018/19 and is currently slightly lower for 2019/20 (LGA benchmark 13.5%). Length of service is 8.4 years against a local authority average of 4.5 years. The Council continues to be relatively successful in recruiting and retaining staff with activity in recent years focussing on frontline and operational

posts. NYCC advertises an average 1,500 vacancies and receives approximately 13,000 applicants per year. Full year advertising spend was £56.5k for 18/19 and half year spend £12k in 19/20 (Q1 and 2) with paid for advertising limited to senior and specialist positions. Social media and digital advertising are used progressively and our recruitment technology platform has been upgraded, however direct approaches through our in-house specialist recruiters are now more regularly required to fill difficult positions.

Recruitment continues to be increasingly challenging in a candidate-led market with unemployment remaining very low, at 2.1% for the county, compared to a national average of 3.9%, with 6,300 job seekers of whom only 1095 are under 24 years old. When increasingly looking to attract candidates currently employed, NYCCs reputation as an employer is extremely important.

The average cost per hire is £31, significantly lower than the local authority national average at £582. Average time to hire has remained at a good standard in 18/19 and year to date at 31 days, again being significantly lower than the LA national average of 47 days.

Detailed below are areas of challenge and response;

- For senior appointments NYCC continues to attract a high calibre field of candidates compared to other local authorities and successfully appointed to all roles in 18/19 and year to date. A national presence, track record, awards, having well respected people that people want to work with, who are well connected and networked and together with an imaginative approach are key to the ongoing attraction strategy.
- Against a backdrop of national social worker shortages recruitment continues to be challenging particularly in the coastal area. With targeted, multi-channel campaigns social worker vacancies were filled and with the exception of 3 agency workers on less than 3 month assignments (early 2018) Prior to this CYPS had not used agency social workers for over 6 years, an enviable position, and still one of only a few authorities nationally to use agency social workers very infrequently. The most significant challenges are recruitment of AMHP's (Advanced Mental Health Practitioners) and Educational Psychologists due to limited national availability.
- Care roles remain a very challenging labour market to recruit to across the county, with specific challenges in Harrogate. The Recruitment Hub, set up in late 2018, is where NYCC's Resourcing Solutions team recruit care workers on behalf of the sector. This started initially as a pilot in Scarborough and rolled out across the county. To date this has been well received by the care providers and has supported 173 providers, with 320 candidates successfully placed, equating to over half a million annual care hours. The service also provides support and advice to care providers to help improve their recruitment and workforce practices. In October' 19 the service was expanded to cover internal care vacancies placing 54 staff in the first 3 months equating to 84,500 annual care hours.
- Highways and Technology and Change services have found that applications for technical roles continue to reduce. Given the scarcity of candidates in these technical fields the ability to 'grow our own', our profile/reputation, ability to create interest, be modern, agile and flexible, exploit professional networks and be imaginative in

approach to attraction is essential. Historically Technology & Change used standard approaches to recruit resulting in reduced applications. Multi-channel campaigns were introduced as part of a more integrated, proactive and strategic approach and these filled the majority of positions, despite low applications numbers. All regional local authorities and private sector businesses are reporting similar challenges recruiting ICT and Engineering talent. NYCC is supporting local and regional campaigns such as Women in Tech, Women in Engineering and Return to Tech campaigns in addition to 'growing' our own approaches.

- 4.5 **The implications of Brexit:** The limited labour market with low unemployment is unlikely to change in the foreseeable future, particularly when considering the possible effects of Brexit. Latest ONS figures found EU migration to the UK was at its lowest level in 10 years which is of particular concern in health and social care, agriculture, hospitality and engineering due to their higher dependency on non-UK nationals. The potential impact on NYCCs workforce is significantly less in direct terms than other areas, however, in the private and voluntary care sector the reliance on EU nationals is estimated to be as high as 12-15%. Aside from those already employed in the care sector there are significant numbers of EU citizens working in the farming, food production, retail, tourism and hospitality sectors locally and the concern is that if these EU workers leave there is likely to be a pull on the existing care workforce to fill the resulting gap.

Work has been undertaken to:

- Identify EU workers and their managers to provide advice, guidance and support.
- Raise Awareness, using the Home office toolkit various forms of communication have been created and directed at internal managers, external providers and individuals.
- Offer dedicated support. A forum has been created offering dedicated support to both recruiting managers and individuals affected. Dedicated support is available from Resourcing Solutions via telephone or email.
- Ease the Application process. NYCC registration service have set up a scanning service in Northallerton, Harrogate and Scarborough to assist any individuals to scan their documents and apply if they do not have access to a required device.
- Link with partner organisations to help promote workshops which support EU workers through the application process.

Further work is planned to:

- Issue updated internal material to inform and encourage NYCC's staff to apply
- Continue to engage with social care employers and encourage them to inform their employees of the scheme
- Produce and circulate local case studies to local media sources, and use social media accounts, to back up the government's campaign

- 4.6 **Spend on agency pay:** The workforce approach at NYCC is based on employing staff on permanent contracts and supplementing this with internal relief staff (usually staff with an existing part time contract at a different location/in a different role) or using existing staff in the same team to work extra hours. Agency staff are only used in exceptional circumstances and when all other options have been exhausted. Spend on agency staff was £1.08m in 2018/19 and so far is £436k 19/20 (half year position of Q1 and 2) so overall agency spend is reducing. IR35 assignments account for a large portion of total agency spend. For 18/19 the total IR35 was £640k and is currently at £369k at the half year point with only £68k non IR35 agency spend. To illustrate the low use of agency workers at the half year position (19/20) there were



4047 hours of agency used, equating to 4.2 FTE agency workers. Agency spend remains low compared to other local authority spend; agency spend in similar sized authorities is approx. £3-4m.

## **5.0 Workforce Strategy**

- 5.1 The workforce strategy is undergoing a refresh with a renewed focus for the Workforce 'Beyond 2020' focusing on five key areas:
1. Engagement of the workforce;
  2. Future talent, including recruitment and retention;
  3. Skills and expectations for staff and managers;
  4. Workplace wellbeing;
  5. Underpinned by a Diversity and inclusion element
- 5.2 To support the Council as innovative, modern and high performing, the workforce plan aims to provide a framework of information, tools, and practical support to enable the workforce to take responsibility for their development, career progression and health and wellbeing, supported by confident managers.
- 5.3 Work is underway across these areas involving middle and senior managers in working groups but also broader engagement to ensure front-line staff are involved in the development of initiatives, policies and processes.
- 5.4 Reporting arrangements on progress include The Modern Council Programme Board and Management Board on a quarterly basis.

## **6.0 Engaging the Workforce**

- 6.1 The county councils workforce operates in an environment of continual change and are encouraged to challenge how things are done, to improve service delivery and be an active part of the change that is underway. How they are engaged is crucial to the success of all change, listening to what staff have to say and acting on their views.
- 6.2 During the summer a full staff survey took place with a return rate of 43%. 70% of all questions showed an increased satisfaction since the last full survey in 2017 with the majority of questions scoring above the national benchmarks for Local Government and Public Sector. Follow up engagement has included group discussions across different locations, filming responses to staff questions and committing to addressing 'wicked issues', as well as the results being considered at senior and team level.
- 6.3 There will a Pulse Survey in 2020 to continue benchmark the response to five core questions, as well as questions that measure the staff response to topical issues and inform future engagement opportunities, in a 'You said, we did' style.
- 6.4 The introduction of the 'Innovation space' at County Hall was helpful for sharing information and communicating the development of services through the use of interactive approaches, with engagement at the County Hall campus. Subjects covered included; Health & Wellbeing, Modern Council, School Readiness, Energy, the Internal Customer project, 'Your Council, Your Plan' Strategy and Performance. Whilst renovation work is underway in the Brierley Building and staff restaurant, the innovation space has been temporarily paused and will allow for a refreshed

approach when the building re-opens. There was also a pilot of a similar 'Innovation space' undertaken at North Yorkshire House in Scarborough around School Readiness. Spaces within other County Council buildings for Innovation Space will be explored further as part of Modern Council.

- 6.5 Recognition, celebration and sharing success is important with the fifth annual staff innovation awards held in December '19, attracting nominations from over 50 teams highlighting innovative developments across the Council. Shortlisted nominations showcased their entries to colleagues and senior managers with awards presented for; improvements behind the scenes, improving efficiency, improving the customer experience, the people's choice award for best bright idea, and the CEX's choice for 'Apprentice of the year'.
- 6.6 Middle Managers continue to engage with the CEX and senior management through yearly discussion sessions with the CEX and "shared conversations" with Assistant Directors held in November and December 2019, continuing to role model best practice and explore views across all directorates. The focus for shared conversations was to share understanding of corporate priorities and planning, whilst recognising the importance of teams knowing how their work contributes to the success of the Council. Feedback included how managers informed and inspired to engage their teams in planning discussions and how recognition of success would help drive cultural change.
- 6.7 Blogs continue to be a place where staff can engage with key senior managers who regularly contribute with topical articles, aligning content with priorities such as Health and Wellbeing this helps to include more of the workforce in engagement.
- 6.8 The Bright Ideas scheme will be reviewed and developed to continue to attract innovative ideas, big or small from across the workforce as part of Modern Council.
- 6.9 Digital developments planned will enhance engagement with the workforce, including the roll out of Office 365 tools (such as Yammer Enterprise Social Networking) to harness the employee voice to support innovation, sharing knowledge and influencing change.

## **7.0 Learning and Development**

- 7.1 Strengthening the workforce by developing the requisite knowledge, skills and behaviours to meet the workforce priorities is important, and headline data for the full year 18/19 and half year 19/20 for staff development and training is below:

### **Full year 18/19**

- 863 classroom training events for 10,417 delegates (inc 863 from PVI Sectors)
- 252 started a qualification with 110 completed and by end of year 304 ongoing.
- 25,462 mandatory online learning completions (inc 2,368 from PVI Sectors)
- 14,445 non-mandatory online learning completions (inc 643 from the PVI)
- 3,200 CPD (continuous professional development) training/learning activities undertaken
- 43 front line managers completed Foundation Level Management Programme.
- 26 middle managers completed Middle Management Programme.
- 13 social work students placed and 58 Trainee Practice Educators mentored

**Use of Online learning resources:**

- Ashridge (Learning materials for managers) 4,856 views
- Stream Learning (short videos on how to communicate/manage effectively when faced with typical workplace problems) 1,746 views
- Learning Nexus (a suite of learning to support staff e.g. ICT courses, social care, health and workplace legislation) 4,533
- Learning Zone views 1.26m

**Half year (April-Sept) 19/20**

- 394 classroom training events for 4,638 delegates (incl. 316 from PVI Sectors)
- 100 started a qualification with 66 completed with 358 on-going.
- 8,123 mandatory online learning completions (inc 2,168 from PVI Sectors)
- 8,195 non-mandatory online learning completions (inc 181 from the PVI)
- 538 CPD training/learning activities undertaken
- 20 front line managers completed Foundation Level Management Programme
- 20 middle managers completed Middle Management Programme. A further 21 commended Programme 10 in September.
- 5 social work students placed and 81 Trainee Practice Educators mentored

## Online learning resources:

- Ashridge (Learning materials for managers) 2,338 views
- Stream Learning 785 views
- Learning Nexus 3,250
- Learning Zone views 609,838

All delivered via the Learning Zone, accessed by staff from any electronic device 24/7.

## 7.2 The key training and learning priorities for 20/21 include;

- Deliver quality interventions to meet needs emerging from the Beyond 2020 future workforce work; plugging skills and knowledge gaps.
- Further grow the leadership and management development offer by introducing an alumni of middle leaders, action learning sets and networks for managers.
- A targeted programme to strengthen commercial skills/ knowledge in traded services
- Provide necessary training and learning activities to support the development of a teal company in highways.
- Continue to deliver a range learning interventions (team development, coaching, and training) for the LEP to support service transition.
- Ongoing training to support remaining service restructures.
- Targeted support for HAS including a new delivery model increasing accessibility to training and support of managers
- Continue to deliver adult social care training to wider sector via the Learning 4 Care project (funded by the IBCF) whilst planning for a longer term commercial working relationship with external providers post funding.
- Build on success of accreditation to Skills for Care Training Provider Endorsement Framework by commercial growth in adult social care sector.
- Further grow the online offer with differentiated resources and learning tools,
- Continue to support a high number of Assessed and Supported Year in Employment (ASYE) programmes for Newly Qualified Social Workers (NQSWS)

- Provide mentoring, observation, support groups, guidance and advice for over 100 Practice Educators in social care.
- Appropriate and effective delivery of apprenticeships across the council.

## **8.0 Developing Talent**

- 8.1 The council's corporate approach to succession planning and graduates continues to ensure the right staff talent is available to meet future workforce demands.
- 8.2 Succession planning activities monitored "hot spots" in terms of senior management, hard to recruit/retain roles and/or those with statutory functions with work identifying and developing internal talent.
- 8.3 The graduate programme continues to be successful with 83% of the 2017-19 cohort securing roles and a further cohort of 11 recruited during summer 2019. Plans for a summer 2020 cohort are underway to attract graduate talent in the best recruitment window, along with a celebration event in spring 2020 to recognise and reward our successful 2017-19 graduates.

## **9.0 New Grading Structure**

- 9.1 The revised pay structure has been in place for over 10 months with a Post Implementation Review underway to understand any ongoing issues and to check the structure against key roles in the market. Feedback has been sought from managers, Unison, and HR Business Partners to establish:
- Market pay alignment for hard to fill roles
  - Impact on need for recruitment/retention payments
  - Impact on merit payment use
  - Impact on need for agency workers
  - Impact on turnover – voluntary leavers
  - Requirement to place new starters on top points
  - Feedback from managers on accelerated increments moratorium
  - Results of staff survey on questions on pay and terms and conditions
- 9.2 The new pay spine grade maximums were positioned to attract and retain staff within the relevant pay market for professional and management roles. Early indications are that they have largely removed or reduced the need for market supplements, with successful recruitment, reduced turnover, low use of agency staff and reduced supplementary payments such as recruitment and retention payments.
- 9.3 Staff survey findings: In respect to pay and conditions, the 2019 Voice Your Views staff survey indicated a 6.64% increase in satisfaction on the question of pay being fair, which increased from 47.9% to 54.55%. To the question on satisfaction with the total benefits package, there was a 2.22% increase from 74.33% to 76.55%.

## **10.0 Apprenticeships**

- 10.1 2018/19 was the first year of the new apprenticeship levy scheme in full operation. Nationally it was reported that apprentice numbers were down across the board due to the introduction of the levy but this was not the position for NYCC who continued to increase apprentice starts across the organisation.

10.2 Since April' 18, 255 apprentices have commenced with 124 from core NYCC roles and 33 within schools in 2018/19. The remaining 97 commenced in 2019/20 with 89 in core NYCC roles and 8 within schools. There have been 32 completions across our apprentices in Business Administration, Health & Social Care and Leadership Management, IT and Construction: Sustainability.

10.3 The actual spend since April 2018 and the committed and forecast for 2019/20 are as follows:

Full year 2018/19 and at Q2 2019/20			
Levy Deduction est.		Levy Spent	Apprentice starts
Corporate	£1,254,574	£714,755	213
Schools	£1,460,410	£104,337	41
<b>Total</b>	<b>£2,714,984</b>	<b>£819,092</b>	<b>255</b>

2019/20 Total Committed & Forecasted Spend						
Levy Deduction 2019/20 est.	Committed		Additional Forecast*		Total	
	Levy Spend	No. of Apprentices	Levy Spend	No. of Apprentices	Levy Spend	No. of Apprentices
£1,485,983	£386,658	209**	£262,130	123	£648,788	332

\* based on identified requirements and annual forecast

\*\* with an estimated 94 completions in 2019/20

10.4 NYCC's levy spend for 2018/19 and to date in 2019/20 is c£819k with £714.7k spent on core council and £104.3k on schools' apprentices.

10.5 The forecast starts for 2019/20 is 123 apprentices. This represents spend of £649k, 43% of levy deductions of £1.5m. As previously reported unspent funds started to expire in May'19. NYCC began returning funds from the levy pot to the treasury in September'19 with £61k returned and an estimated return of £533k for 2019/20, all of which is schools' unspent funds. This is in line with expectations due to the ongoing challenges for schools.

#### 10.6 Public Sector Target Report 2018/19

As per the annual reporting requirements of the Education Skill Funding Agency (ESFA) NYCC reported on progress towards the achievement of the 2018/19 public sector apprenticeship target of 377 apprentices i.e. 2.3% of the workforce including schools. Performance against the target has increased from 0.46% in 2017/18 to 1% in 2018/19, with council apprentices at 1.6% and schools at 0.4% and a significant increase in starts from 81 to 159. NYCC continues to have regard to the public sector target, however it remains unachievable due to the continuing challenges and structural limitations previously reported and detailed below:

- The council employs a large number of part time workers whose Full Time Equivalent (FTE) makes it difficult to meet the apprentice numbers required.
- A number of services employ a significant number of part time staff with low contracted hours which makes apprenticeships ineligible or impractical.
- There is almost full employment in the county with strong competition for workers so apprenticeships are often unattractive in terms of the pay rate.

- Most schools are small and in rural locations with small workforces and a high percentage being part time, making an apprenticeship almost impossible due to low contracted hours or ability to cover the 20% off the job training.
- The county is predominantly rural with public transport provision often reducing labour market mobility for apprentices who are lower paid until qualified. NYCC provides a transport allowance but it remains a restriction if a car is needed.
- The requirement to undertake Level 2 Maths and English functional skills for the Level 2 & 3 apprenticeships has a negative impact on recruitment and retention and up skilling staff. A large proportion of apprentices require functional skills training as they do not hold an equivalent qualification particularly in the older workforce with their qualifications not being equivalent, and this is having a detrimental effect on some service areas, particularly the care sector. The introduction of the occupational specific standards can be restricting for the public sector as the standards are removing the more generic apprenticeships previously seen with the frameworks leaving gaps in provision for apprenticeships at level 2. A large proportion of NYCC's requirements are at level 2 and there is concern that there is no complete pathway for entry level learners. Specifically, this impacts our opportunities in Business Administration and Schools IT.

10.7 Key priorities for 2019/20 are;

- **The delivery of the 25% Transfer Levy**

As previously reported from March'19 NYCC could transfer 25% of the levy pot to non-levy paying employers. Work is underway focusing on key objectives below;

1. To support the spend of the NYCC levy pot and reduce the funds returned
2. To support North Yorkshire employers to deliver services through the development of their workforce.

Work continues with linked organisations and partners and specifically with Borough and District Councils, Stronger Communities team, the York, North Yorkshire, East Riding Local Enterprise Partnership LEP and Community First Yorkshire. In Q2 2019/20 transfers were made to 2 local employers, including Align Property Partners and a small employer supporting the economic needs of North Yorkshire in the area of engineering. This is an estimated £54k levy transfer. In Q3 a further 5 transfers are in the pipeline.

- **Engagement with Schools to optimise levy spend**

Teaching Assistant and School Business Professional apprenticeships continue to be the most popular within schools, and providers have been identified. Initial forecasts show 16 learners across both apprenticeships. Starts are also expected in HR and Accountancy. Work is continuing to update the information provided to schools through the CYPs.info website, to be launched to schools in February.

The apprenticeship offer for schools is continually developing and work with schools focuses on this to ensure they know what is on offer and how it can support their staff's learning and development. Schools have shown some initial interest in the Level 6 Post Graduate teaching apprenticeship and work will begin

to identify a local provider who may be able to offer this and give people another option when choosing to move into teaching.

- **Ensuring apprenticeship schemes are of a high quality and meet NYCC/service requirements**

Work continues with providers through procurement and contract management to ensure apprentices are on high quality schemes.

- **The continuation of role mapping and workforce planning work with directorate services**

New apprenticeship standards continue to be reviewed and discussed with services as part of ongoing workforce planning. Apprenticeship are being considered initially as learning and development solutions in all areas where training needs are identified for individuals/teams/roles.

10.8 NYCC continues to support Coventry University, Scarborough through a collaboration agreement. Currently on programme are 12 staff on the Chartered management degree apprenticeship and 16 on the Digital and technology solutions professional degree apprenticeship. There are also 4 Chartered management degree apprentices enrolled with York St. John University and an additional 4 higher level Apprenticeships identified as appropriate; Chartered Legal Executive, Accountancy Taxation Professional, Civil Engineer and Data Scientist. With an additional 2 high level apprenticeship solutions identified for the remainder of 2019/20, Digital and technology solutions specialist and Social Worker.

10.9 The Social Work apprenticeship standard was approved for delivery last year by the institute of apprenticeships and work is ongoing with CYPS and HAS to look at the integration of this route into the current pathways into Social Work within the organisation. CYPS has identified 4 apprenticeship starts for Q4 2019/20.

10.10 2018/19 has seen National awards and recognition for a number of apprentices. In September'18 a Para Legal apprentice won the CILEx (Chartered Institute of Legal Executives) apprentice of the year award and in March'19 a Care Leader apprentice was runner up in the Health, Public Services and Care category at the Selby College Apprenticeship Awards. The CEXs award at this year's Innovation awards was Apprentice of the Year. The winner was a Business Administration apprentice who has gained a wide variety of transferrable skills throughout their apprenticeship which they use in the workplace and to support community projects. This has helped to raise thousands of pounds for their village. A further 2 apprentices were highly commended.

10.11 NYCC are holding an annual Apprenticeship Celebration Event in the spring to recognise and reward apprentices who have completed their apprenticeship. 79 apprentices due to complete their apprenticeship are invited to attend. Executive Members and the Members Workforce Planning Group representatives have also been invited.

## 11.0 Conclusion



11.1 This annual update evidences good progress on all aspects of the workforce plan. Priorities for the year ahead include the 5 priorities identified in the Workforce Strategy namely:

- Engagement of the workforce;
- Future talent, including recruitment and retention;
- Skills and expectations for staff and managers;
- Workplace wellbeing;
- Underpinned by a Diversity and inclusion element

11.2 Specific challenges include:

- Recruitment attraction in the care sector in a post Brexit labour market
- Supporting workforce wellbeing with a focus on supporting staff be resilient
- Maximising the use of the apprentice levy, both directly and via schools and other employers
- Measures to promote a more diverse and inclusive workforce at all levels

Justine Brooksbank  
Assistant Chief Executive (Business Support)

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## 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
◀▶	20/235 - Brexit Arrangements	The UK leaves the European Union with sub-optimal arrangements resulting in difficulties in recruitment, data protection, price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; and adverse impacts upon the local economy and infrastructure and environmental standards.	Chief Exec	All Mgt Board	H	H	H	H	M	1	24	31/01/2020	H	H	H	H	M	1	Y	Chief Exec
▲	20/187 - Information Governance	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc	Chief Exec	CD SR	H	M	M	M	H	1	9	31/12/2019	H	L	M	L	M	2	Y	CD SR
◀▶	20/207 - Transformation Programme	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
◀▶	20/1 - Funding Challenges	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the remainder of the decade resulting in legal challenge, unbalanced budget and public dissatisfaction	Chief Exec	CD SR	H	H	H	H	H	1	9	31/01/2020	M	H	H	M	M	2	Y	All Mgt Board
◀▶	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.	Chief Exec	CD HAS	H	M	H	M	H	1	15	30/04/2020	H	M	M	M	M	2	Y	CD HAS
◀▶	20/236 - Opportunities for Devolution and Growth in North Yorkshire	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability 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
▼	20/239 - Schools Funding Challenges	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
◀▶	20/47 - Partnership and Integration with Health	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
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## 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>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<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					CSD SR AD T&C	Tue-31-Mar-20				
<b>Reduction</b>	15/635 - Continue to carry out fundamental review of projects, reassessment of priority and agree outcomes					CD SR CSD SR AD T&C	Mon-31-Aug-20				
<b>Reduction</b>	15/636 - Continue to deliver existing Programme including Directorate and cross cutting programmes					CD SR CSD SR AD T&C	Mon-31-Aug-20				
<b>Reduction</b>	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-Mar-20				
<b>Reduction</b>	15/639 - Continue to carry out focussed reviews on areas of overspend, poor performance and/or opportunities for improvement					CD SR CSD SR AD T&C	Mon-31-Aug-20				
<b>Reduction</b>	15/831 - Continue to monitor delay of Programmes and the effect on benefits (ongoing)					CSD SR AD T&C	Mon-31-Aug-20				
<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					CD SR	Tue-31-Mar-20				
<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					CD SR	Tue-31-Mar-20				
<b>Reduction</b>	20/403 - Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)					CSD HoC	Mon-31-Aug-20				
<b>Reduction</b>	20/491 - Identify and target additional savings through corporate Procurement Strategy (ongoing)					CD SR	Wed-30-Sep-20				
<b>Reduction</b>	20/526 - Continue to develop effective Commercial operations (ongoing)					All Mgt Board Chief Exec	Mon-31-Aug-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>	20/551 - 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>Action Manager</b>
<b>Fallback Plan</b>	15/561 - Carry out service cuts				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>Fallback Plan</b>	20/504 - Further fundamental review in order to discharge statutory responsibilities									<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>	20/194	<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 EPU CD 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 CYPs



# 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

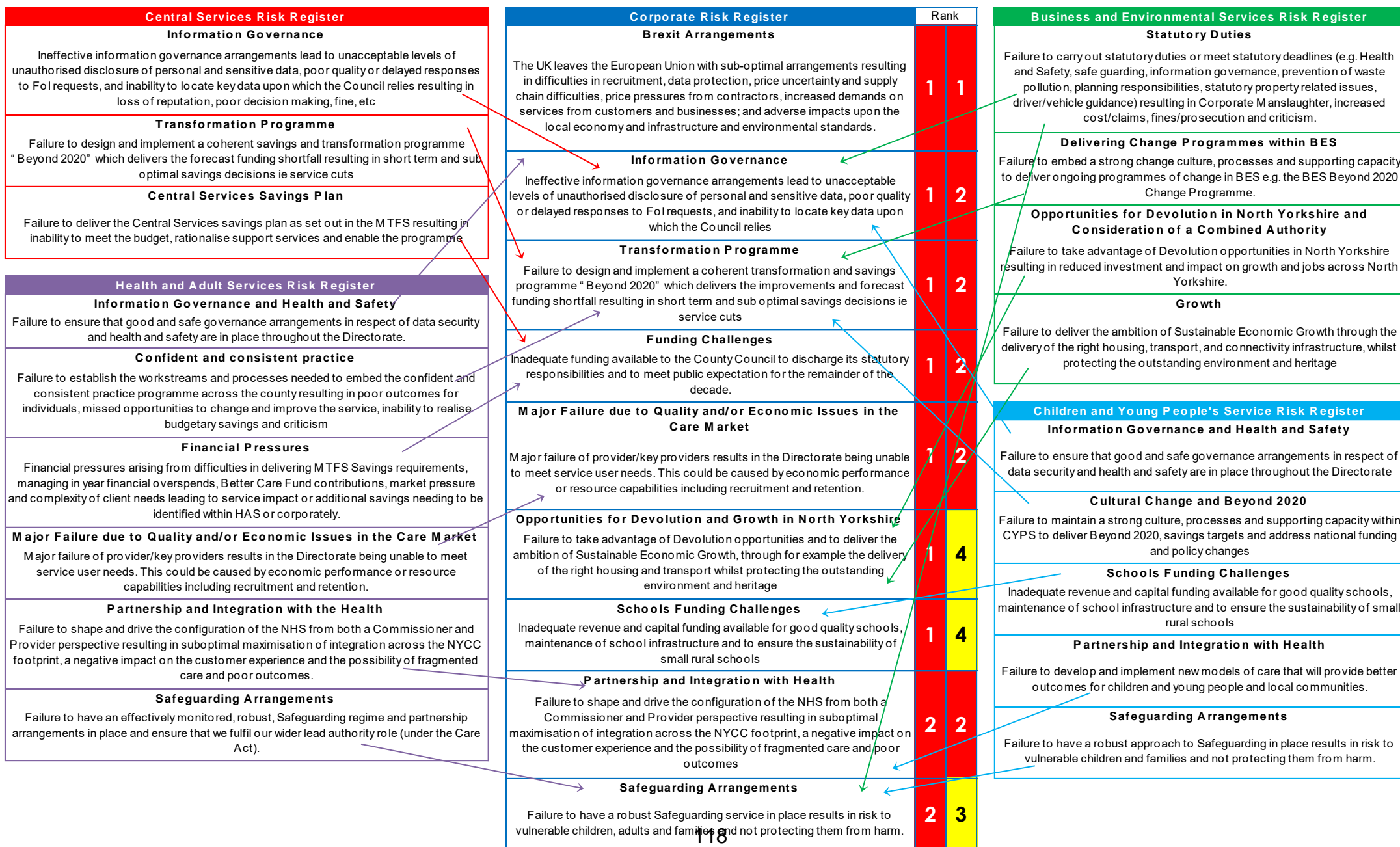
### Phase 4 - Post Risk Reduction Assessment

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



**NORTH YORKSHIRE COUNTY COUNCIL**  
**CORPORATE & PARTNERSHIPS OVERVIEW & SCRUTINY COMMITTEE**

**2 March 2020**

**INSURANCE CLAIMS ANALYSIS REPORT**

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

**1.0 PURPOSE OF THE REPORT**

1.1 To provide

- (a) an overview of the Motor and Liability insurance claims experience over recent years, and
- (b) analyse the pattern and costs of Public Liability claims over the last 5 years, particularly for Business and Environmental Services.

**2.0 BACKGROUND**

2.1 The insurances arranged for the County Council includes cover for accidents and incidents involving employees, third parties and property including vehicles. This report concentrates on Motor and Liability claims as there is the potential for higher costs in these areas. **Paragraph 4** onwards below provide an analysis of Motor and Liability (showing Employers' Liability and Public Liability) insurance claims, with an in depth analysis of Business and Environmental Services (BES) claims. This detail has been provided because this is where the higher numbers and values of claims arise.

**3.0 INSURANCE CLAIMS ANALYSIS**

3.1 The following paragraphs explain the position for Motor and Liability insurance claims as at 31 December 2019. The Liability insurance claims are further broken down into Employers' Liability and Public Liability claims.

3.2 The insurance year runs from 1 October to 30 September. When a Liability or Motor claim is received, it is recorded against the insurance year in which the incident occurred. Thus a claim which occurred on 30 November 2017, but not reported to the County Council until 1 January 2019, would be recorded against the 2017/18 insurance year.

3.3 Due to the Limitation Act, claims for injuries can be submitted up to 3 years after the incident or when the claimant becomes aware of the injury. For property claims this is extended to 6 years.

#### 4.0 GENERAL MOTOR CLAIMS EXPERIENCE

- 4.1 Motor insurance covers any motor vehicle, whilst deployed on the business of the County Council and for social, domestic and pleasure purposes by authorised persons. The cover is comprehensive which includes loss of or damage to the vehicle and legal liability to third parties for death, bodily injury or damage to property due to an accident involving a vehicle or trailer.
- 4.2 A summary of the motor claims experience for each Directorate over the last three years is included in **Appendix A**. Motor claim figures are provided over three years only as the claims are normally settled within a short time frame.
- 4.3 The number of Commercial Motor Fleet claims per insurance year has remained relatively steady over the last 3 years. There has been a corresponding effect on costs other than in 2016/17 insurance year, when two claims involving injured third party passengers and two non-suspicious fires increased costs for that year.
- 4.4 A point to note in relation to motor claims is that the majority of vehicles are now sourced by the NYCC Fleet department. As a result, the claims experience for those vehicles now sits within BES - IPT but the use of the vehicles which includes Highway vans, school minibuses and pool cars is across all Directorates.
- 4.5 The remainder of the claims involve keyworker vehicles, mainly in Health & Adult Services, where most of these vehicles are allocated. The number and value of keyworker vehicle claims per insurance year has remained steady over the last three years

#### 5.0 LIABILITY CLAIMS EXPERIENCE

- 5.1 A summary of the liability claims experience for each Directorate over the last five years is included in **Appendix B**. The 2018/19 year is still immature and will most likely increase as some claims have not yet been submitted.

#### 6.0 EMPLOYERS LIABILITY

- 6.1 Employers Liability insurance provides cover for claims made against the County Council for injury to an employee, which the claimant believes has been caused due to the negligence of the County Council.
- 6.2 The number of Employers Liability claims per insurance year is lower in comparison to Public Liability claims. However, the value per Employers Liability claim can be much higher as all Employers Liability claims involve injury whilst the majority of Public Liability claims within North Yorkshire involve property damage such as pothole damage to vehicles (**see paragraph 8.5**).
- 6.3 For Business and Environmental Services, Health and Adult Services and Central Services, the number and value of Employers Liability claims fluctuate. For Business and Environmental Services there is no common or consistent cause of incident. For Health and Adult Services and Central Services, the most

common causes with the highest value of claims are “Slip, Trip, Fall” and “Lifting, Handling and Carrying”.

- 6.4 Children and Young People’s Service including Children’s Social Care has the highest number and value of Employers Liability claims with the most common causes of claims being “Slip, Trip and Fall”; “Lifting, Handling and Carrying” and “Damage/Injury Caused by Pupil”. Although higher value claims include the causes of “Hit by Moving Object”, Assault” and “Stress”. Some of the incidents in more recent years involve injuries caused by pupils to members of staff. A claim would usually be brought against the employer in these circumstances, rather than the child.

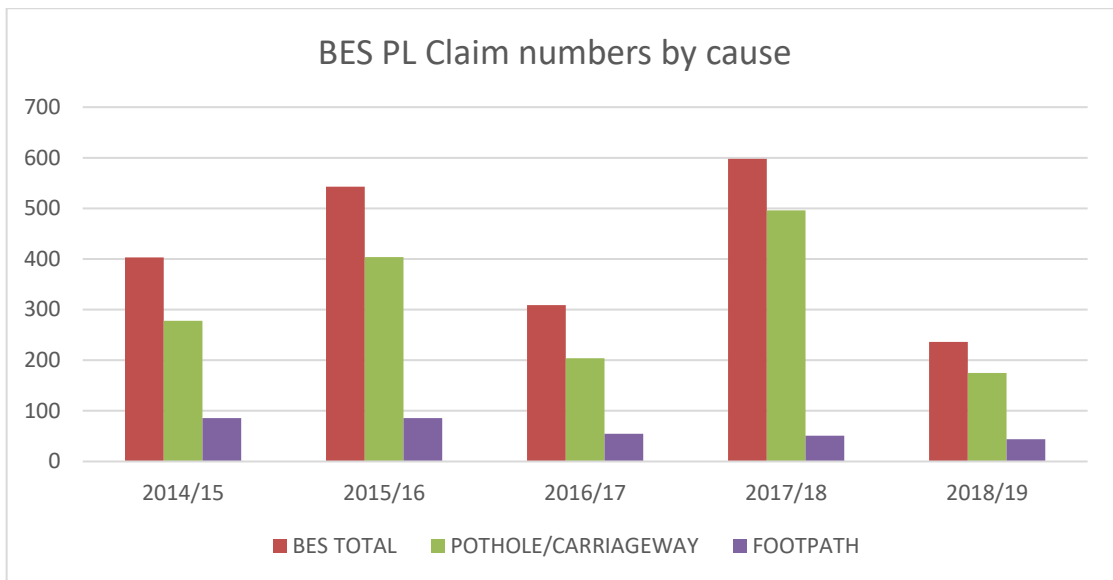
## 7.0 PUBLIC LIABILITY

- 7.1 Public Liability insurance provides cover for claims made against the County Council for injury or damage to a member of the public and/or damage to their property, which the claimant believes has been caused due to the negligence of the County Council.
- 7.2 A summary of the claims experience as at 31<sup>st</sup> December 2019, for the last 5 years for each Directorate is attached at **Appendix B**
- 7.3 The Public Liability figures for Central Services remain relatively low, as would be expected from the activities of this Directorate.
- 7.4 Health and Adult Services Public Liability claims tend to be low in number and relatively low in value, one incident was reported to insurers for notification but no claim has been received to date.
- 7.5 The figures for the Children and Young People’s Service are difficult to predict as the 3 and 6 year rule (as mentioned in **paragraph 3.3** above) does not start until a child reaches 18 years old, so the figures may still undergo some change. Presently the number and value of claims are relatively stable with an annual average of 12 claims and an average annual cost of £157,000
- 7.6 The figures for Business and Environmental Services remain the highest for the County Council and are therefore analysed further in **paragraph 8** below.

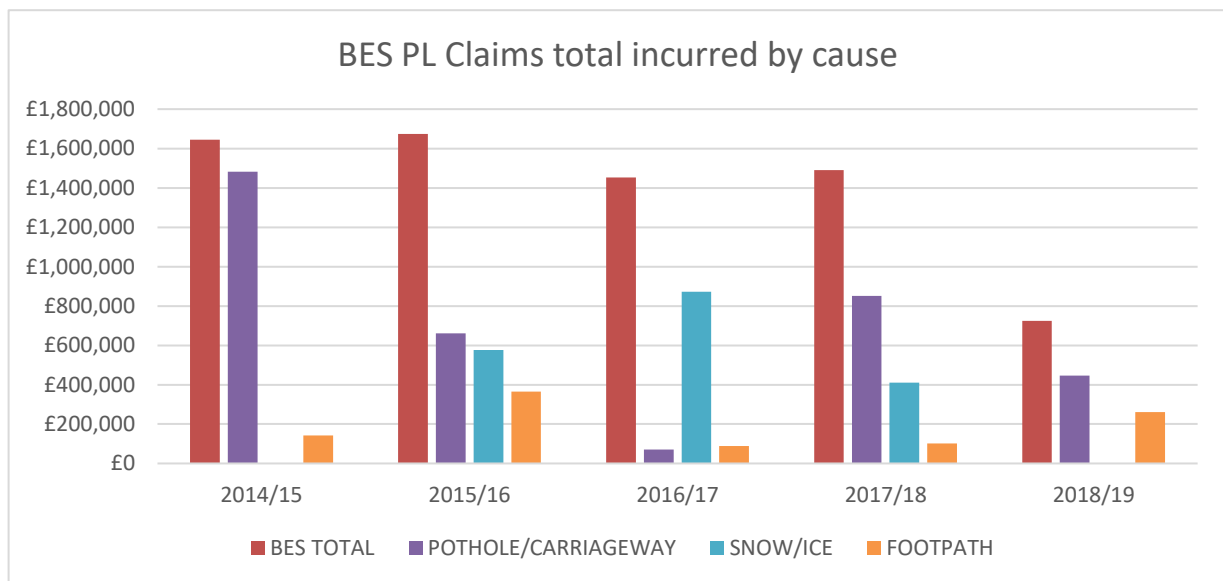
## 8.0 Business and Environmental Services (BES)

- 8.1 For BES, the overall average for the period 20014/15 to 2018/19 is 418 Public Liability claims per insurance year, and a total value of paid and outstanding of approximately £1,397k on average per year. This is a decrease in the number of claims previously advised, and significant decrease in annual average incurred figures which includes outstanding reserves.
- 8.2 The most common causes of the claims are due to “Pothole”, “Footpath” and “Carriageway”, which apart from “Footpath” relates to the surface condition of the highway. The diagram below illustrates the number of claims relating to each cause and the total.





8.3 The following diagram shows that Public Liability claims costs are relatively steady. However, many of these costs are estimated figures as investigations/negotiations are ongoing for these outstanding claims. A clearer position will not be available for these years until these claims are settled.



8.4 Footpath claims have been relatively steady in number although they remain costlier as they usually relate to personal injury, and the majority of carriageway claims relate to vehicle damage rather than injury. Over the last five years there has been an increase in the number of claims for personal injury particularly from cyclists on the carriageway. The nature of the injuries can be serious and this is reflected in the values attached to those claims. These types of claim account for the majority of outstanding reserves and whilst claims are robustly defended wherever possible the Council has to pay for legal defence costs which, since 2013 are no longer recoverable from the third party, even if the claim is successfully defended or withdrawn. We have included Snow/Ice data in the diagram in paragraph 8.3 to illustrate costs related to this cause although presently these are mainly outstanding reserves on cases where a defence is being maintained.

### Potholes/Carriageway Incidents

- 8.5 As a result of the weather conditions there has been a fluctuation in the number of claims received from the public in as a result of the formation of potholes and deterioration in the condition of roads around the County. This was particularly high in 2017/18 but has then decreased markedly in 2018/19. The claims mainly involved the cost of repairs to damaged tyres and wheels although there were some personal injury incidents. The approximate number of pothole/carriageway claims received in the Insurance and Risk Management Service for the following years was as follows:

	Total BES Public Liability Claims	Pothole/ Carriageway claims
2014/15	403	278
2015/16	543	404
2016/17	309	204
2017/18	598	496
2018/19	236	175

### Repudiation of BES Claims

- 8.6 In order to mitigate against claims being made against the County Council, risk management measures are put in place to enable the County Council to learn from the claims made in order to try to prevent them in the future and to put measures in place to better defend these claims.
- 8.7 The diagram in **paragraph 8.10** shows the number of claims that have been closed for each insurance year and of those closed, the number and percentage of closed claims that have been settled with a nil payment. It is noticeable that over the 5 year period this percentage has improved.
- 8.8 It was recognised that this was not an accurate measure of whether claims had been successfully defended; as some claims will have been successfully defended but payments will have been made in respect of the Council's solicitors fees, whilst other claims may simply have been withdrawn.
- 8.9 In the light of this, the following information has also been recorded for each closed claim:
- Conceded/lost - liability is admitted and the claim settled on the best terms
  - Successfully defended - the claimant has chosen to withdraw the claim following repudiation or it has been successfully defended at court
- 8.10 It can be seen from the diagram below that the largest percentages relate to claims submitted to the County Council but successfully defended and a commensurate reduction in the percentage of claims conceded or lost. Insurance year 2018/19 is still immature, but the position will continue to be monitored.

BES CLOSED CLAIMS EXPERIENCE AS AT 31 <sup>st</sup> DECEMBER 2019										
Insurance year	2014/15		2015/16		2016/17		2017/18		2018/19	
	No.	%	No.	%	No.	%	No.	%	No.	%
<b>Number of closed claims</b>	399	99%	516	96%	287	94%	554	93%	123	52%
<b>Successfully defended</b>	314	79%	428	83%	247	86%	459	83%	102	83%
<b>Number of closed claims settled at Nil</b>	301	75%	423	83%	244	86%	452	82%	100	81%
<b>Conceded/Lost</b>	85	21%	88	17%	40	14%	95	17%	21	17%

8.11 The current repudiation rate for all BES claims including pothole/road surface claims is approximately 83% for each insurance year for the period 2014/15 to 2018/19.

### **Risk Management**

8.12 The defence of these claims has been supported over time by the following actions taken by officers in Business and Environmental Services:

- providing detailed information to the public on the County Council Website and through the Insurance and Risk Management Service to ensure that the claimant understands the circumstances and information required to make a valid potential claim.
- updating of Highways Safety Manual to reflect the “*Well maintained Highways – Code of Practice*” to assist with proactive risk based measures either in preventing accidents or in the defence of claims
- robust but fair defence of any claim where it is thought that NYCC are not liable
- keeping within the timescales of the new Civil Procedure Rules where appropriate in order to reduce claimant’s solicitor’s costs.
- improving recording and retention of records that are used to defend claims
- a willingness to provide witness statements and attend court to defend claims
- training, for example a mock trial for Highways staff by insurance and legal providers to ensure awareness of the legal process and support to their involvement.
- e-learning package for Driving at Work available on the intranet
- the NYCC fleet department has now rolled out the fitting of tracker equipment across their fleet. As well as being a useful fleet management tool, the data collected can also be used to assist in claims investigations.

- Dashcams are now fitted to most vehicles including buses and this has proved extremely useful when considering liability for accidents.
- an analysis of claims that have to be conceded to see how preventative systems can be improved in the future.

## 9.0 CONCLUSIONS

9.1 General public awareness that a claim can be made for damage or injury, which is believed to be due to the negligence of another party continues to be high. In addition the economic climate means that the likelihood of claims being made (in particular fraudulent claims) will continue. Therefore it is not surprising that the number of claims submitted to the County Council is unlikely to decrease.

In 2017 the County Council successfully sued a claimant following a finding of fundamental dishonesty for a personal injury claim and recovered almost £10,000 in costs from that person. This was widely publicised to deter other fraudulent claims. Work continues in this area.

9.2 However, it is important to recognise that without –

- the measures put in place to prevent incidents occurring in the first place
- putting in place measures and records to defend claims when they do occur
- learning from claims where the County Council is found negligent

the number and costs of Public Liability claims against the County Council would be much higher.

## 10.0 RECOMMENDATIONS

10.1 The Committee are recommended to:

- (i) consider the information provided in relation to insurance claims and determine if any further actions are required.
- (ii) consider that in future this report is presented every 2 years.

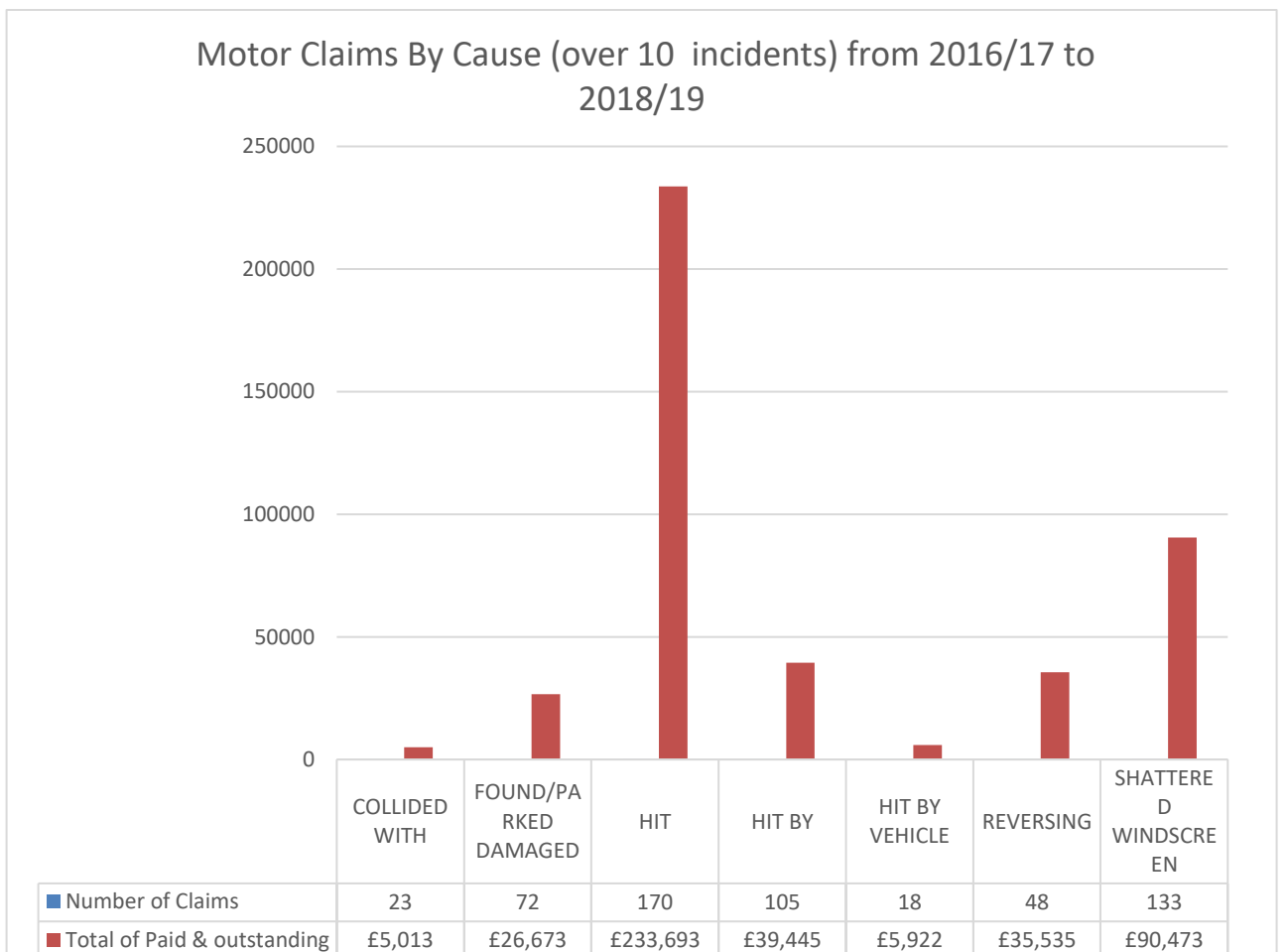
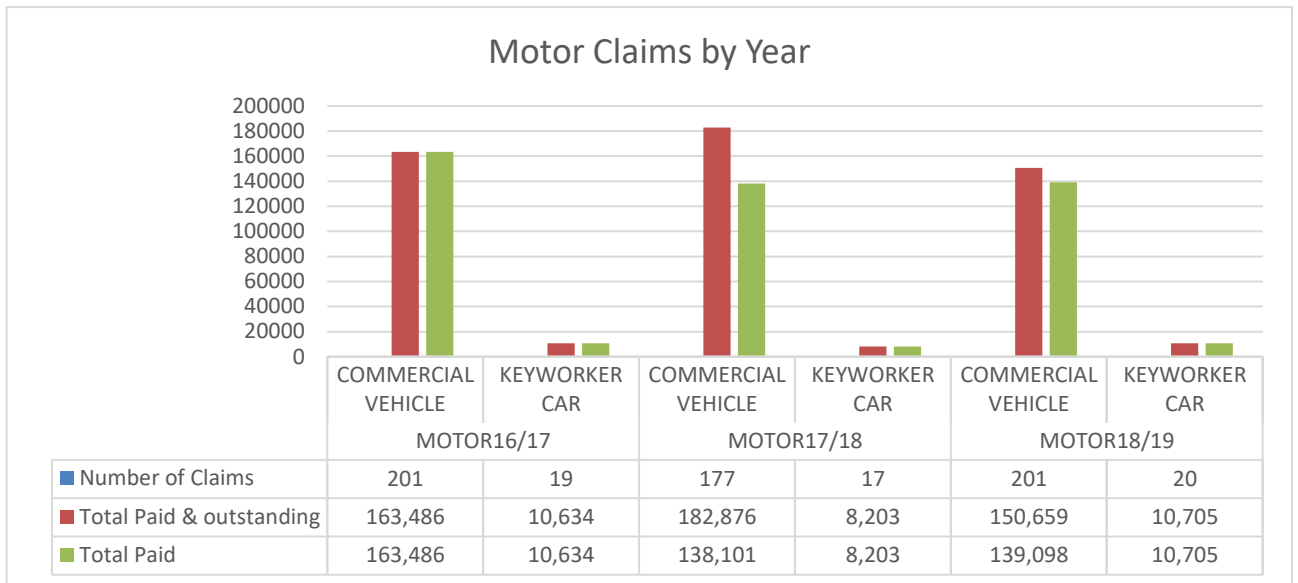
**GARY FIELDING**  
**Corporate Director – Strategic Resources**

County Hall, Northallerton  
 March 2020

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

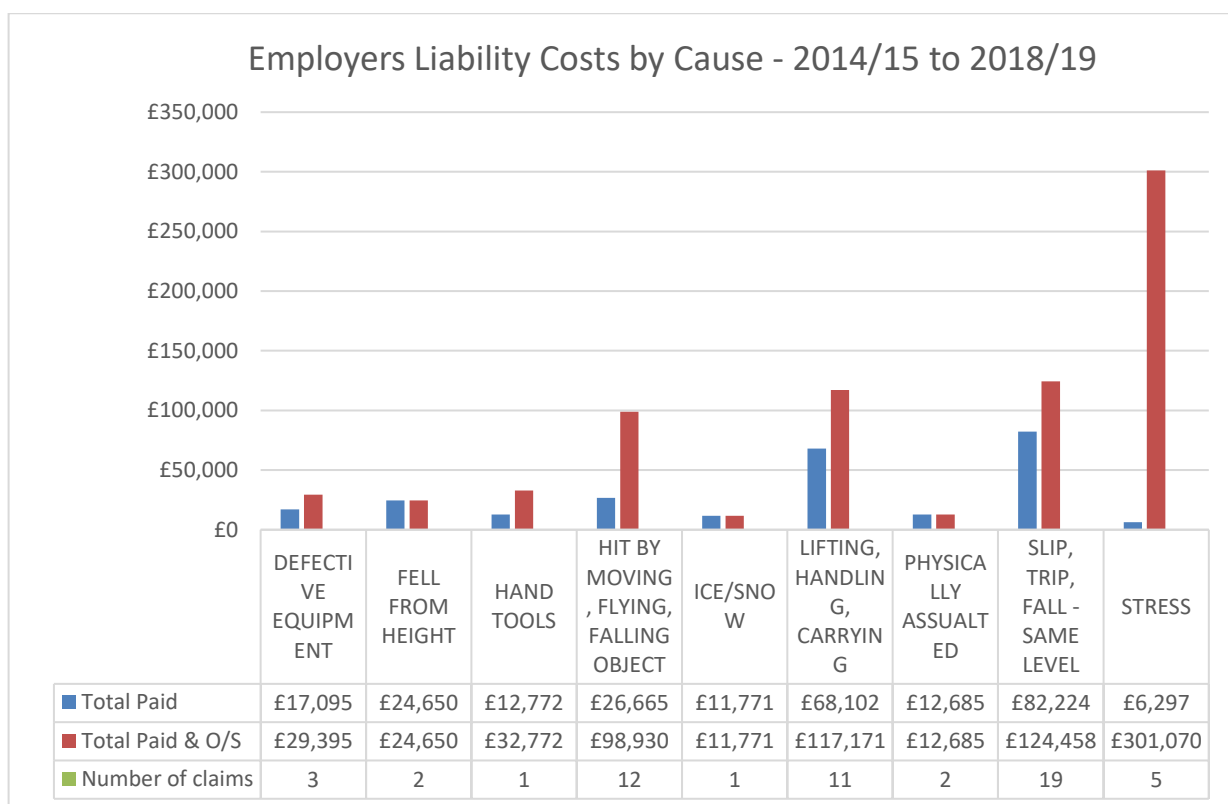
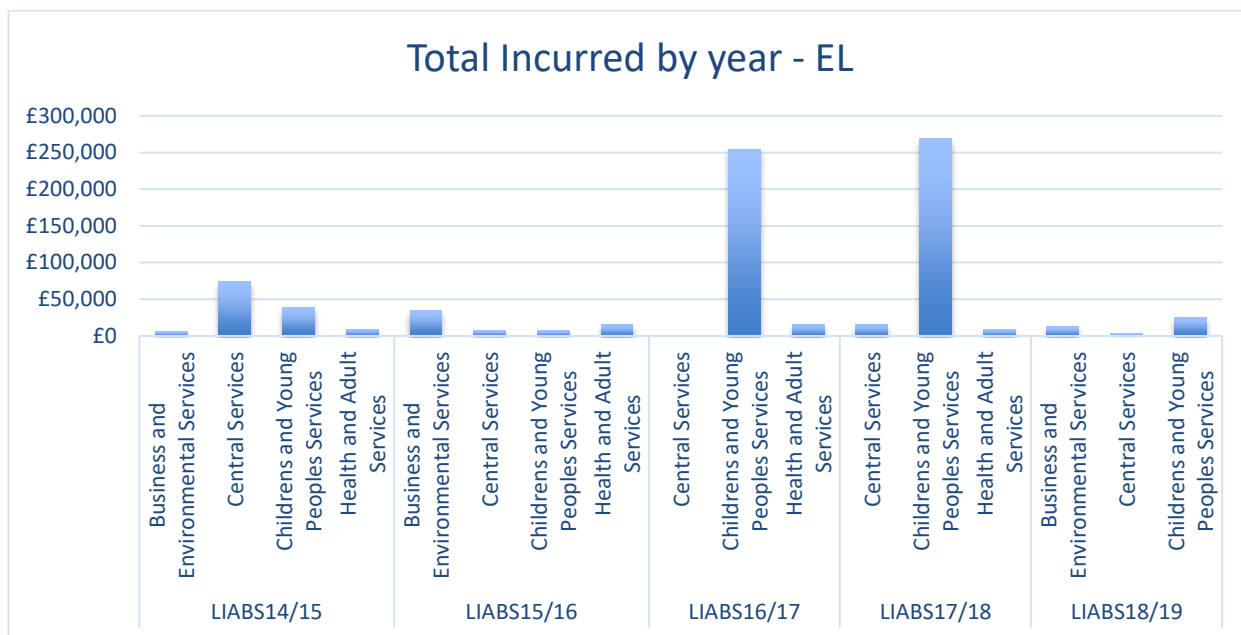
**Background papers:** None

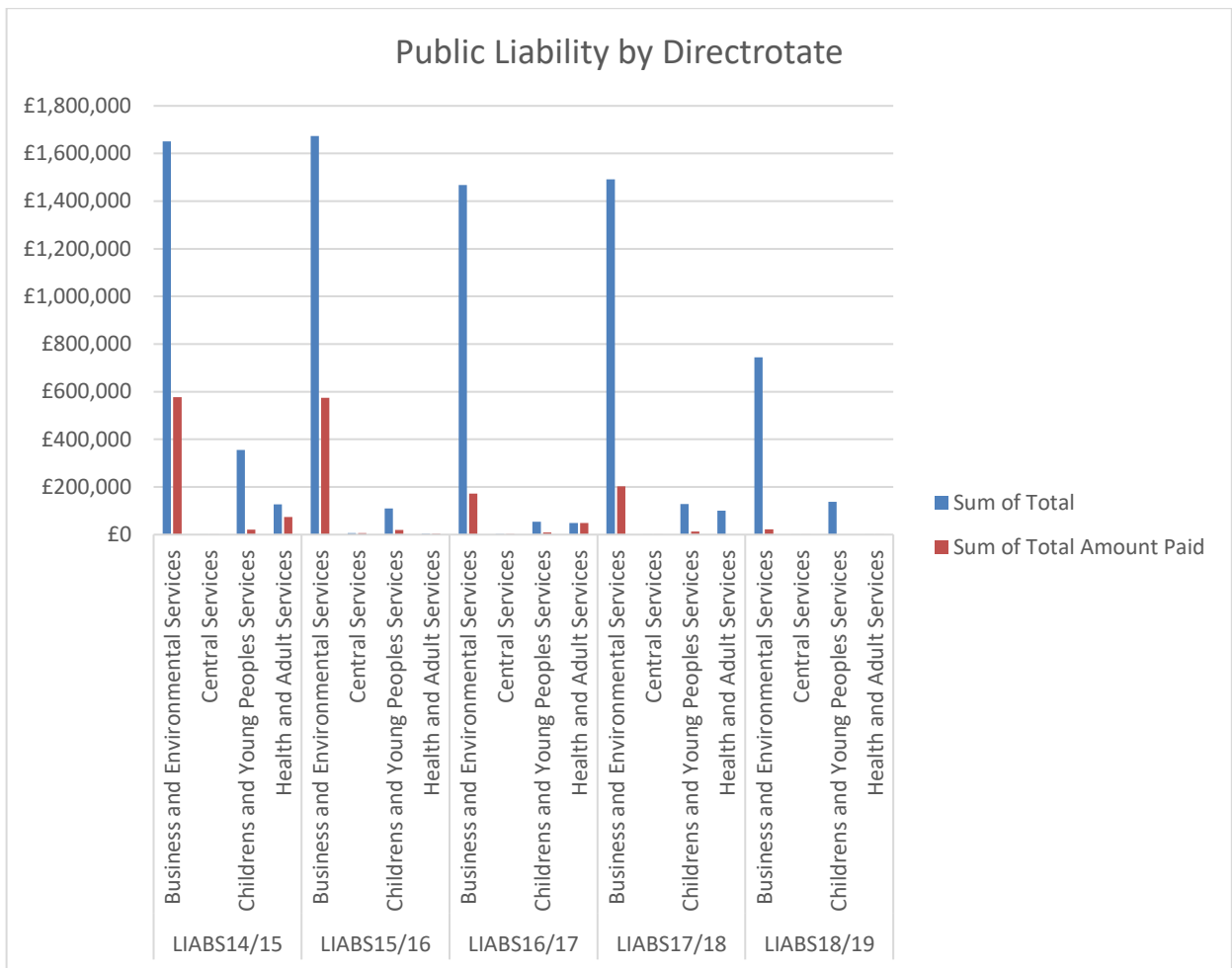
**APPENDIX A**



Appendix B

Liability Claims Occurring Per Insurance Policy Years Between 1st October 2014 to 30th September 2019 as at 31 December 2019







**North Yorkshire County Council  
Corporate & Partnership Overview & Scrutiny Committee  
2 March 2020  
Committee Work Programme**

**Purpose of Report**

The report asks Members to consider the Committee's draft work programme for 2020/21, taking into account the outcome of discussions on previous agenda items and any other developments taking place across the County.

**Work Programme**

The draft Work Programme for 2020/21 is attached at Annex A and Members are asked to consider, amend and add to the draft Work Programme for the coming municipal year, as required.

**Committee Remit**

The Corporate and Partnerships overview and scrutiny committee scrutinises the Council's corporate organisation and structure, resource allocation, asset management, procurement policy, people strategy, equality and diversity, performance management, communications, partnership working, community development and engagement and community safety (as the designated Crime and Disorder Committee).

This committee has a specific legal duty, under the Police and Justice Act 2006, to act as the crime and disorder overview and scrutiny committee, giving the committee the power to:

- Review or scrutinise decisions made, or action taken, in connection with the discharge by the responsible authorities of their crime and disorder functions
- Make reports or recommendations to the local authority with respect to the discharge of those functions.

**Scheduled Committee Dates & Mid-Cycle Briefing Dates in 2020/21**

Committee dates:

10.30am on 8 June 2020  
10.30am on 14 September 2020  
10.30am on 7 December 2020

Mid-cycle Briefing dates:

10.30am on 20 April 2020  
10.30am on 27 July 2020  
10.30am on 26 October 2020



10.30am on 1 March 2021

10.30am on 18 January 2021

10.30am on 19 April 2021

**Recommendation**

Members are asked to:

- i. Consider, amend and add to the Committee's work programme for the remainder of the current municipal year.
- ii. Consider possible topics for detailed scrutiny review.

Melanie Carr  
Principal Democratic Services & Scrutiny Officer  
North Yorkshire County Council  
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## Corporate & Partnerships Overview and Scrutiny Committee Remit

### Scope

- The Council's corporate organisation and structure, resource allocation, asset management, procurement policy, people strategy, equality and diversity, performance management, communication and access to services.
- Partnership working, community development, community engagement, community strategies and community safety.
- This Committee is the Crime & Disorder Committee for the purposes of Part 3 of the Police and Justice Act 2006.

**Agenda Briefings** (Attended by Group Spokespersons only) - will be held at 9.30am on the day of the committee meeting, in the Elm Room

## Corporate and Partnerships Overview and Scrutiny Committee 2019-2020 Work Programme

### Committee Meeting – 2 March 2020 @ 10:30am in Brierley Room

Community Safety - PFCC	Update on the implementation of plans for collaboration between North Yorkshire Police and North Yorkshire Fire & Rescue Service – Police, Fire & Crime Commissioner
North Yorkshire Syrian Refugee Settlement Programme	Annual Programme Update – Jonathan Spencer
Annual Workforce Plan	Review of Annual Plan – Justine Brooksbank
Corporate Risk Register	Annual Review of NYCC Corporate Risk Register – Fiona Sowerby
Insurance	Annual/Bi-annual Update on NYCC Insurance Claims, Risk Exposure & Management – Fiona Sowerby
Members' Dashboard	Verbal update on possible introduction of a suitable online tool for Members
Work Plan 2020/21	Consideration of the work programme for the coming municipal year

### Mid Cycle Briefing – 20 April 2020 @ 10:30am in Room 3

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<b>Corporate and Partnerships Overview and Scrutiny Committee Draft 2020-2021 Work Programme</b>	
<b>Committee Meeting - 8 June 2020 @ 10:30am in Room 3</b>	
Community Safety	Bi-annual Update on Community Safety Plan Delivery & Partnership Working – Odette Robson
Community Libraries	Update on Library Services – Chrys Mellor
Locality Budgets	Annual Update on delivery – Neil Irving
Customer Access	Update on the Operation of the Parish Portal and Parish Council engagement – Nigel Smith
Property Services	Performance Update – Jon Holden
<b>Mid Cycle Briefing – 27 July 2020 @ 10:30am in Room 3</b>	
Work Plan 2019/20	Consideration of the work programme for this municipal year
<b>Committee Meeting – 14 September 2020 @ 10:30am in Brierley Room</b>	
Corporate Volunteering Project	Six-monthly progress update on corporate volunteering project – Marie-Ann Jackson
Equality and Diversity	Overview of progress with achieving the Council’s Equality and Diversity objectives & update on the development of an Action Plan by Management Board Task Group – Deb Hugill
Brierley Group Annual Report 2018/19	Annual update on the work of the Brierley Group – Gary Fielding / Michael Leah
Community Safety – Youth Justice	Presentation on Annual Update on Implementation of the Youth Justice Strategic Plan – Vicky Metheringham & Steve Walker
Corporate Volunteering Project	Annual progress update on corporate volunteering project – Marie-Ann Jackson
<b>Mid Cycle Briefing – 26 October 2020 @ 10:30am in Room 3</b>	
Work Plan 2019/20	Consideration of the work programme for this municipal year

<b>Committee Meeting – 7 December 2020 @ 10:30am in Brierley Room</b>	
Customer Access	Update on the Operation of the Customer Portal - Robert Ling, AD Technology & Change
Investment Strategy	Update on NYCC's Investment Strategy & its Investments – Karen Iveson, AD Strategic Resources
Community Safety	Bi-annual Update on Community Safety Plan Delivery & Partnership Working – Odette Robson, Head of Safer Communities
Council Plan Development	Progress update on implementation of Council Plan Priorities & an overview of the development of a refreshed Council Plan – Louise Rideout, Senior Strategy & Performance Officer
NYCC Property Services	Overview of NYCC Property & Land Holdings - Current challenges, risks and aspirations – Jon Holden, NYCC Head of Property Services
Brierley Group Governance Update	An update on the current governance arrangements for the Brierley Group – Michael Leah
<b>Mid Cycle Briefing – 18 January 2021 @ 10:30am in Room 3</b>	
Work Plan 2019/20	Consideration of the work programme for this municipal year
<b>Committee Meeting – 1 March 2021 @ 10:30am in Brierley Room</b>	
Community Safety - PFCC	Update on the implementation of plans for collaboration between North Yorkshire Police and North Yorkshire Fire & Rescue Service – Police, Fire & Crime Commissioner
North Yorkshire Syrian Refugee Settlement Programme	Annual Programme Update – Jonathan Spencer
Annual Workforce Plan	Review of Annual Plan – Justine Brooksbank
Corporate Volunteering Project	Update on corporate volunteering project – Marie-Ann Jackson
Corporate Risk Register	Annual Review of Corporate Risk Register – Fiona Sowerby
Insurance	Annual Update on Insurance Claims, Risk Exposure & Management – Fiona Sowerby
<b>Mid Cycle Briefing – 19 April 2021 @ 10:30am in Room 3</b>	
Work Plan 2021/22	Consideration of the work programme for the coming municipal year

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