



Agenda

**Notice of a
public meeting**

of : **Corporate & Partnerships Overview & Scrutiny
Committee**

To: **Councillors Derek Bastiman (Chair), Bryn Griffiths
(Vice-Chair), Val Arnold, Margaret Atkinson,
Caroline Goodrick, Mike Jordan, Richard Musgrave,
Andy Paraskos, Yvonne Peacock, Tony Randerson,
Angus Thompson, Cliff Trotter and Annabel Wilkinson.**

Date: **Monday, 19th April, 2021**

Time: **10.30 am**

Venue: **Remote meeting held via Microsoft Teams**

Pursuant to The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority Police and Crime Panel Meetings) (England and Wales) Regulations 2020, this meeting will be held using video conferencing with a live broadcast to the Council's YouTube site. Further information on this is available on the committee pages on the Council website - <https://democracy.northyorks.gov.uk/>

The meeting will be available to view once the meeting commences, via the following link - www.northyorks.gov.uk/livemeetings. Recording of previous live broadcast meetings are also available there.

Business

1. **Introductions & Chairman's Remarks**
2. **Minutes of the meeting held on 18 January 2021** **(Pages 3 - 8)**
3. **Apologies & Declaration of Interest**
4. **Public Questions & Statements**

Members of the public may ask questions or make statements at this meeting if they have given notice and provided the text to Melanie Carr of Democratic Services (*contact details below*) no later than midday on Wednesday 14 April 2021. 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.

If you are exercising your right to speak at this meeting, but do not wish to be recorded, please inform the Chairman who will instruct those taking a recording to cease whilst you speak.

- 5. Annual Workforce Plan** (Pages 9 - 24)
Purpose of Report – To provide an update on the County Councils changing workforce, presents key workforce data, outlines key areas of work and progress in year, and sets out key priorities for the year ahead.
- 6. Annual Update on Risk Management** (Pages 25 - 52)
Purpose of Report - To provide an overview of the updated Corporate Risk Register
- 7. North Yorkshire Syrian Refugee Settlement Programme Annual Update** (Pages 53 - 64)
Purpose – To provide an update and progress report on refugee resettlement in North Yorkshire.
- 8. Corporate Volunteering Project Update** (To Follow)
- 9. Draft Work Programme 2021/22** (Pages 65 - 68)
Purpose – To consider, amend and adopt the committee’s draft work programme for the coming municipal year.
- 10. Other business which the Chairman agrees should be considered as a matter of urgency because of special circumstances.**

Contact Details

Enquiries relating to this agenda please contact Melanie Carr Tel: 01609 533849 or e-mail:

Melanie.carr1@northyorks.gov.uk

Website: www.northyorks.gov.uk

Barry Khan
Assistance Chief Executive
(Legal and Democratic Services)

County Hall
Northallerton

Friday, 9 April 2021

North Yorkshire County Council

Corporate & Partnerships Overview & Scrutiny Committee

Minutes of the remote meeting held on Monday, 18th January 2021 commencing at 10.30 am.

County Councillor Derek Bastiman in the Chair. plus County Councillors Bryn Griffiths, Val Arnold, Margaret Atkinson, Caroline Goodrick, Mike Jordan, Richard Musgrave, Andy Paraskos, Yvonne Peacock, Tony Randerson, Cliff Trotter and Annabel Wilkinson.

In attendance: County Councillors Carl Les, Phillip Broadbank, Clive Pearson and Karin Sedgwick.

Officers present: Melanie Carr, Catriona Gatrell, Jon Holden, Vicky Metherringham, Steve Walker and Justine Brooksbank.

Apologies: County Councillor Angus Thompson

Copies of all documents considered are in the Minute Book

1 Minutes of the meeting held on 7 December 2020

Resolved – That the Minutes of the meeting held on 7 December 2020 having been printed and circulated, be taken as read and be confirmed and signed by the Chairman as a correct record.

2 Apologies & Declaration of Interest

There were no apologies or declarations of interest to note.

3 Public Questions & Statements

There were no public questions or statements received.

4 Report on Sky Lanterns & Helium Balloons

County Councillor Bryn Griffiths introduced the report drawing Members' attention to the discussions on the item at the last Committee meeting as detailed in the Minutes of that meeting at agenda item 2. He noted the proposal to include helium balloons and confirmed he was happy to have them included. He also noted the other proposals in the report and the draft recommendations and confirmed his acceptance of those.

The Chair gave other non-committee members the opportunity to address the Committee. County Councillor Clive Pearson agreed that helium balloons should be included, and welcomed the report and its recommendations. County Councillor Karin Sedgwick gave her full support but raised concern about the continued release of sky lanterns and helium balloons from non-council owned land.

The issue of enforcement was raised, and it was noted there had not yet been any communication with tenants of North Yorkshire council land on the issue. It was suggested that in order for a ban to be successful, the problems arising from the release of sky lanterns and helium balloons (as detailed in the report) would need communicating to

council tenants and the public in general.

Legal advice was provided confirming there was nothing in existing tenancy agreements that would restrict this type of activity, but for any new tenancies, the legal documents/leases could be revised to include the Council ban. Schools and Academies could also be encouraged not to release sky lanterns and helium balloons, through the use of legal documentation.

County Councillor Bryn Griffiths suggested some proactive engagement with the public etc would be required as suggested within the report. He also queried whether social housing providers could also be encouraged to ban the activity from their properties.

County Councillor Annabel Wilkinson agreed the best way forward would be to raise awareness among school children of the issues associated with the activity, both locally and nationally as they were becoming more and more environmentally aware. It was agreed that a letter to the Secretary of State for Education would be an appropriate way forward in regard to schools, together with the lobbying of local MPs for a national ban.

County Councillor Richard Musgrave agreed that a strong publicity campaign promoting the negative outcomes of the activity was the best way forward, particularly as enforcement would be problematic.

County Councillor Philip Broadbank agreed action was required and suggested that lessons could be learnt from other Authorities who had already introduced a ban.

Other members fully supported the proposal, and County Councillor Liz Collings proposed widening the engagement as much as possible.

Resolved – That the following recommendation be submitted for full Council's consideration:

The County Council is recommended to adopt and promote the following charter:

'North Yorkshire County Council has banned the release of sky lanterns and helium balloons on any property and land which North Yorkshire County Council own or lease or have any interest in or control over

We are committed to encouraging businesses, communities, landowners, schools, residential homes and individuals to switch to alternative ways of celebrating and commemorating events.

North Yorkshire County Council pledges to: -

- Promote the restriction of the release of all types of helium-filled balloon and sky lantern on property and land owned by the Council. This includes those that are made from bamboo or claim to be biodegradable.
- Ask all Parish and Town Councils within North Yorkshire to pass a similar motion, to ban the release of sky lanterns on Parish or Town Council land.
- Incorporate the ban into all future residential tenancy and land lease agreements.
- Proactively engage with businesses, landowners, schools, residential homes, council tenants, social housing providers, charities and community groups, to raise awareness of safer and more environmentally friendly alternatives that people can celebrate with, through promotion and campaigns.
- Work with the County's MPs to ensure that the issue is considered by Parliament.

5 Update on Staff Support during the Covid-19 Pandemic

Members considered a report provided by Justine Brooksbank, Assistant Chief Executive, outlining the way in which the county council's workforce had changed in response to Covid, and the support provided to the County Council's workforce to enable them to do that and remain operationally effective and personally resilient throughout the pandemic.

Justine Brooksbank provided an overview of what staff had been through in terms of covid i.e. the impact on the workforce in terms of infection levels, the percentage of staff working, the numbers required to isolate, the numbers furloughed, vaccination levels etc. She also provided information on home working risk assessments, return to work covid induction arrangements and an overview of redeployment.

It was noted there had been some changes to both terms and conditions of employment (particularly around leave taking) and training and learning support, which had included some specific training for managers.

Specifically in regard to support for staff, the report detailed the different types of support provided, including mental health and personal resilience support. It was noted the induction of Yammer had proved timely in providing social interaction opportunities for staff. Some specific support for new starters and apprentices had also been provided.

The report provided a brief overview of the various tools and support available in terms of staff's health and wellbeing, including the recently launched 'Taking care of You' toolkit.

It was noted that regular updates and communication were provided for staff to ensure they remain informed of the support available, and the pulse survey provided useful feedback.

On behalf of the Committee, County Councillor Derek Bastiman recorded his thanks for both the report and the excellent ongoing work to keep staff and councillors informed and supported. He also recorded his appreciation for the hard work and dedication that staff had shown throughout the pandemic

County Councillor Caroline Goodrick welcomed the report and added her thanks to officers for all of their hard work and commitment.

In response to questions from members, Justine Brooksbank confirmed:

- The apprenticeship programme was continuing, with more structured contact being provided for new apprentices, designed around specific roles;
- For lone workers, additional support was available to combat feelings of isolation;
- The work like balance survey results evidenced the increased difficulty of having a clear boundary between work and home – a issue recognised nationally;
- The type of roles being furloughed e.g. catering and cleaning staff;
- Under-performance continued to be managed with support for managers to do it remotely;
- Discussions were ongoing to consider future working arrangements post-pandemic, including a more hybrid approach to home working that worked for both service needs and individuals;
- TEAMS was being rolled out to all staff;
- Work was ongoing to introduce an LGBT network;
- Vaccinations were ongoing and on track, with nearly half of all frontline staff already vaccinated.

The Chair thanks Justine Brooksbank for her attendance at the meeting, and it was

Resolved –

That the update be noted.

6 Update on a recent assessment of the Youth Justice Service

Members received a presentation from Steve Walker, Youth Justice Officer, which provided an update on the welfare of children detained in Wetherby Young Offenders Institute, and an overview of the findings from a recent inspection of North Yorkshire's Youth Justice Service.

The presentation detailed the welfare of children currently in Wetherby YOI, including their access to exercise, education, activities and family visits. Steve Walker confirmed that the Service had received explicit assurance from the Institute that late admissions were no longer happening following improvements to the system, but noted there was still some concern about the level of professional access to the children, particularly those who were looked after children or those with safeguarding needs.

He went on to confirm that whilst North Yorkshire Youth Justice Service had been rated good (15th of the 45 Services inspected) there had some issues identified for improvement. In response an improvement plan had been submitted, practitioners had received refresher training, and guidance and processes had been reviewed.

In relation to ASSETPlus, it was noted that whilst it had some strengths, particularly in managing very complex and risky young people, portability between YOT areas and secure establishments etc, it also presented significant barriers to effective practice e.g.:

- The computerised system required high levels of inputting and maintenance which reduced capacity for direct work
- It resulted in completed assessments and plans which could exceed 200 A4 pages, in a dense, complex and repetitive format, which excluded service users from meaningful understanding or co-production, and obstructed effective collaboration with other services.

Members were therefore pleased to note the ongoing pilot of the 'My Assessment Plan' (MAP) system of assessment, commenced in 2019, which had enabled an advanced, family-centred and strengths-based assessment, designed for close alignment with the Signs of Safety model. It was confirmed the pilot had resulted in a condensed approach compared to ASSETPlus, with usually less than 20 pages of plain and direct language, readily understood by children and their families.

Steve Walker confirmed the findings from an internal evaluation of the MAP system had shown it to be both effective and critical to the goal of closer working with other Children's Services teams. As a result, the service had been given approval to continue the pilot for a further two years, and a Youth Justice Board/HMIP working group had been set up to monitor and evaluate its effectiveness.

Attention was drawn to the positive feedback from a direct consultation exercise undertaken by the county's independent consultation team 'Young Voice' which noted the positive impact of MAP on the relationships, trust and influence that the Service could now achieve, unleashing staff from their desks and allowing more time for working with children, families, schools etc.

In relation to the impact of Covid on service delivery, the presentation highlighted the ongoing work to maintain support to children and their families, and the creative new practices introduced to enable that work.

Finally, concern was expressed about backlogs i.e. reported offences yet to be investigated and charged by the Police, and charges awaiting court. It was noted that whilst there had been government funding for additional police officers resulting in an approximate 16% increase in recorded crime, there had been no additional resources for the rest of the justice system e.g. courts, YJS and Probation etc.

In response to questions from members, it was confirmed that:

- The ability of the Service to protect and look after children was being compromised as a result of being unable to carry out visits to Wetherby YOI, although the various teams within the institution were working hard to ensure their needs were met;
- There were five new re-settlement practitioners employed by Wetherby YOI, but it was not clear what their role entailed;
- Links were often maintained beyond the end of a court order, and other services were brought in to provide support e.g. Early Help, with joint visits and a phased withdrawal;
- To ensure consistency of support for higher need cases during holidays, a co-worker was allocated to the family ahead of time;
- The backlog in the court service pre-Covid, was due to reduced resourcing and inefficiencies in the system;
- Children within the Wetherby YOI were currently receiving approximately 30mins a day informal outdoor exercise and access to structured PE facilities once a week;
- In regard to the operation of youth services during Covid, a 'Streets Ahead' project had been run by the Early Help service looking at how to target provision of support to young people with a range of opportunities being offered;

Members noted an invitation to re-visit Wetherby YOI post Covid, and welcomed the opportunity to do so. It was also agreed that a letter be sent to MPs regarding the Committee's concerns about the impact of Covid on delays in the magistrates courts.

County Councillor Derek Bastiman thanked officers for their update and it was

Resolved: That the update be noted

7 Work Programme 2020/21

The report of the Principal Democratic Services and Scrutiny Officer inviting Members to consider the Committee's Work Programme for the remainder of 2020 taking into account the outcome of discussions on previous agenda items and any other developments taking place across the county.

Members agreed to replace the planned mid cycle briefing on 19th April 2021 with a formal meeting, and to defer the following items of business from the March meeting to the new April meeting:

- Review of Annual Workforce Plan
- Update on Corporate Volunteering Project
- Annual Review of Corporate Risk Register
- Annual Update on Insurance Claims, Risk Exposure

Resolved – That the work programme be revised as detailed above.

The meeting concluded at 12.30 pm.

This page is intentionally left blank

NORTH YORKSHIRE COUNTY COUNCIL

CORPORATE AND PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE

19th April 2021

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, outlines key areas of work and progress in year, and sets out key priorities for the year ahead.

2.0 Responding to and Supporting our Workforce through Covid

- 2.1 The majority of work in the last year has focused on reacting to and supporting our workforce through Covid. A detailed report provided to this Committee on 18th January 2021, covered this in detail and so is not included in the content of this report.

3.0 A Smaller more Diverse Workforce

- 3.1 The County Council's workforce (non-schools) has now stabilised at a headcount of around 7,300 and FTE of around 5,500 following years of steady reduction. The number of restructures and the impact on staff numbers has reduced, although there are still further restructures ongoing and planned. There has been an increase in the temporary (relief) workforce to respond to Covid, notably in HAS.
- 3.2 The overall non-schools FTE reduction since 2010 has been some 13% (19% on headcount). The numbers directly employed in schools has reduced by 44%, however this includes schools converting to academies where numbers are removed from NYCC records and so does not represent an actual reduction in the education workforce.
- 3.3 Further reductions are offset by increases in posts funded by one-off government grants/initiatives, partnership initiatives such as with the NHS, and new traded service contracts which generate additional income and increase workforce numbers.
- 3.4 Since April 2014 which was the start of the, now concluded, 2020 change programme nearly 6,000 staff have been involved in redundancy consultation in over 170 restructures resulting in 1094 staff displaced (meaning their job no longer exists in the structure) and 659 redundancies, of which over half were voluntary, and 20 retired.
- 3.5 In terms of the cost of redundancies, £5m was allocated in 2014/15 for 2020 restructure costs, and a final £2m for remaining and potential restructures allocated in last year's budget. Of this £1m remains unallocated to conclude the remaining restructures. 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 exit cost per leaver is £13k (including any pension strain) compared to an average £23k in other benchmarked authorities (ONS).

- 3.6 During 2020 reorganisations it became increasingly difficult to redeploy staff due to the more specialist and senior posts affected and so support to staff focussed on achieving 'good outcomes'. Where an employees' destination at leaving is known 39% found other employment, 27% did not wish to seek new work, 3% self-employed or in further training, and 4% unemployed and still seeking work. This means 96% achieved a positive alternative outcome and staff feedback shows they value highly the support received.

4.0 Key Workforce Data

- 4.1 **Composition:** the non-schools' workforce continues to see a slight increase in the proportion of men with a split of 23.4% male and 76.6% female. The proportion from a BAME background has increased to 2.3% (against a local population figure of 2.7%) and the proportion of staff declaring a disability has increased slightly to 2.2%. However, over 2,000 staff who have chosen not to declare their ethnicity, and half of employees have not identified if they have a disability, despite further work to enable accurate information collection and reporting. The average age of the workforce has increased slightly to 47.4 years and the proportion of under 25 year olds has increased to 4.6%. 40.8% of staff are full time so 59.2% work part time with many of these having multiple part time roles. The characteristics of the top 5% of earners are 59.5% female, 1.3% BAME and 1.7% with a disability.
- 4.2 **Sickness Absence:** sickness absence is measured in number of FTE days lost and was 8 days in 2019/20, still amongst the lowest of county councils nationally. In the first 3 quarters of 2020/21 this has decreased significantly with a projected 2020/21 figure of around 6.5 days. This reduction in sickness absence in year is seen nationally across sectors and is a response to Covid whereby staff find it easier to manage illness where they are working from home and are less likely to feel they need to declare themselves "off sick". This will be considered as part of the work looking at working arrangements in the future and "the new normal" post Covid. In addition the furloughing of around 800 staff will have impacted on absence levels.
- 4.3 In 2019/20 working days lost to long term sickness absence accounted for 65% of all absence. The most common causes of sickness absence remain stress, depression and anxiety related (32.2%), musculo-skeletal problems (19.5%) and infections (11.1%). 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.
- 4.4 The previously provided report on on the workforce impact of Covid detailed work undertaken to support employee wellbeing and resilience over the last year and this committee commented positively on this provision.

- 4.5 **Turnover:** Turnover was 13.5% in 2019/20 and is currently slightly lower with a predicted 2020/21 outturn of 12% (LGA benchmark 13.5%). Length of service is 9 years against a local authority average of 4.5 years, so double. The Council continues to be relatively successful in recruiting and retaining staff and works hard in maintaining this position.
- 4.7 **The implications of Brexit:** This is currently the 'grace period' whereby EU workers are able to work in the UK until 30th June 2021. There does not appear to have been any detrimental impact on the workforce to date although Covid has changed the economic landscape to such an extent that it is difficult to consider what the impact will be going forward relative to previous predictions.
- 4.8 **Spend on agency pay:** The workforce approach at NYCC is to employ staff on permanent contracts and supplement this with internal relief staff (usually staff with an existing part time contract at/in a different location/role) or use existing staff in the same team to work extra hours. Agency staff are used only in exceptional circumstances when all other options have been exhausted. Spend on agency staff was £733k in 2019/20 and so far is £350k in the first 3 quarters of 2020/21, so overall agency spend continues to reduce, but as a direct result of Covid pressures agency spend will increase temporarily in Q4. IR35 assignments account for a large portion of total agency spend. For 19/20 the total IR35 was £640k and is currently at £266k in the first 3 quarters of 2020/21. Off-payroll workers such as consultants or interims previously paid taxes directly to HRMC through their business rate set-up or self-assessment. In April 2017 this changed for public sector (from April 2021 this is extended to private sector), off-payroll workers, subject to assessment, must pay tax through a PAYE payroll system. NYCC minimise the use of these and the vast majority of off-payroll (IR35) engagements are for specialist and independent mental health and best interest assessors required due to statute/regulation. Agency spend remains low compared to other local authority spend; agency spend in similar sized authorities is approx. £3-4m.

5.0 Recruitment Developments

Young People's Employment Initiatives

- 5.1 The impact of Covid 19 on youth employment is likely to be significant, with an increase evident in North Yorkshire of young people aged 16–24 claiming out of work benefits; currently 7.6% (9% nationally) compared to 3% the same period 12 months previous. Areas of the county with the highest numbers are Scarborough 11.1% and Harrogate 7.4%. NYCC recognises the need to equip young people for life and work in a strong North Yorkshire economy, and in response is providing employability opportunities for young people. As one of the county's largest employer with a continual need for staff this is an opportunity to develop a pipeline of future talent for the workforce, addressing workplace and labour market demographics.
- 5.2 A range of employment initiatives have been developed in NYCC over many years including; Supported Internships, Work Experience, Apprenticeships, Graduate Scheme, Graduate Internships, and most recently Kickstart Scheme and Traineeships which are detailed below

- 5.3 **Kickstart Scheme (Department of Work and Pensions);** In October 2020 NYCC made an initial application to participate in the Kickstart Scheme, a national government £2 billion fund to support 16–24 year olds to access employment as part of the Government’s Plan for Jobs in response to Covid. In total NYCC has applied for 347 Kickstart placements, 40 directly with NYCC as the host employer and the remaining 307 with partner employers across the county, where NYCC supports business as a Gateway organisation. These placements are at various stages of the process with 27 appointed to so far.
- 5.4 There are challenges and delays with the national programme. It has taken 2-3 month to gain approval with a 2-3 week lag from submitting the vacancies to them being uploaded by DWP and available for applications. The time from submission of application to being able to start a Kickstart job placement creates planning difficulties and requires additional engagement with participating employers.
- 5.5 There are likely to be challenges attracting eligible young people to meet the requirements of the Kickstart placements as recruitment progresses, and NYCC’s resourcing team are working closely with DWP to maximise the Kickstart opportunities for local young people. As a Gateway organisation, NYCC’s resourcing team will support young people with their employability to help them transition into long-term employment beyond the initial Kickstart placement. Employability provision is an essential element of the programme.
- 5.6 A further 13 new organisations have expressed an interest in providing Kickstart jobs and a further application will be submitted in April 2021. From the DWP approvals there are 347 Kickstart job placements in progress providing £2.3m government funding of salaries coming to local companies. Also the government have announced that Kickstart employers are eligible for the £3k apprenticeship incentive if they successfully transition into an apprenticeship following their Kickstart placement. Where opportunities exist transition will be supported through the resourcing teams employability support.
- 5.7 **Traineeships;** A traineeship is a course incorporating work experience aimed at unemployed 16-24 year olds who have little or no work experience and are not qualified higher than level 3. The traineeship supports participants to get ready for work or an apprenticeship. Traineeships can last from 6 weeks up to 1 year, though most traineeships last for less than 6 months. The government has promoted these to employers as a response to youth unemployment due to Covid, and in response NYCC has hosted the work experience element for 4 traineeships in early 2021 in business support and Technology and Change with a further 2 planned for April 2021.

Resourcing for Health and Adult Services

- 5.8 Recruiting care workers is a national challenge with approximately 112,000 unfilled vacancies nationally and 1,200 in North Yorkshire. In response to this NYCC developed the MakeCareMatter campaign (www.makecarematter.co.uk) to promote careers in care and increase recruitment marketing for the sector, and the Recruitment Hub, launched in October 2018 provides vital recruitment support to the care sector.

- 5.9 The Covid pandemic has increased demand for care workers at the same time as increased staff absence due to infection and isolation reduced staff availability. Recruiting to frontline roles amidst fear of infection and initially concerns regarding PPE brought greater difficulties and despite rising unemployment, care work remains unattractive to many job seekers.
- 5.10 To meet the internal and external care sector staff requirement the resourcing team:
- Increased recruitment marketing and attraction, targeting those temporarily furloughed including writing to business across the county, reaching 122,000 in an initial campaign, 230,000 in a second one, resulting in 2,491 applicants and 714 new starters since March 2020.
 - Contacted 157 NYCC leavers/retirees to see if they were able to return to help.
 - In August 2020 planning started to recruit additional staff to provide resilience for Covid and winter pressures with over 6,000 hours recruited to. Recruitment continues to recruit a further additional 1,921 hours.
 - Deployed NYCC staff with a temporary reduction in work due to lockdown.
 - Supported managers by assessing, vetting and arranging start dates for new recruit to free operational manager time.
 - Operated evening and weekend on call arrangements for emergency support.
- 5.11 The outcome of this was:
- No agency workers were required in the initial response to Covid unlike most other local authorities with use only required for Q3 at cost of £31k
 - While many of the relief staff returned to their original jobs after the first Covid wave 38 transferred to permanent contracts and 71 remain active reliefs.
- 5.12 Recruitment to other professional roles continued through the pandemic with response for the first three quarters of 2020/21 as follows:
- Social workers: 162 applications, 72 interviews and 28 new starters
 - Occupational Therapists 21 applications, 13 interviews and 9 new starters
 - Other professional roles recruited to most recently included; 2 health improvement managers, 4 health improvement officers, 5 quality improvement officers, 1 governance manager, 3 supported employment coordinators, 3 team leaders 3 and 1 team manager.
 - Agency spend for other professional roles was zero in Q1 and Q2 but £51,585 in Q3 including spend on OT's, Health Improvement Officers, Public Health Consultant and Intelligence Officers.

External Care Providers

- 5.13 Recruitment for external care providers continues; since August 2020 recruitment attraction through the MakeCareMatter campaign has reached 335k people, resulting in 1034 applicants for the provider sector. Including applicants from previous campaigns, 815 are progressing with providers with 420 interviews and 179 new

starters. The Recruitment Hub is currently working with 50 providers to recruit to 70 vacancies. It has supported 11 care homes with emergency staffing requirements in response to a Covid outbreak that risked not meeting statutory staffing levels, involving expediting new recruits, seconding NYCC staff and arranging urgent agency worker cover.

Resourcing for Education

5.14 Working with the Opportunity Area on the specific challenge to increase the quality of teaching and learning and social mobility in the North Yorkshire Coastal area, NYCCs resourcing team have supported schools involved to secure full staffing since April 2018.

5.15 To date the programme has:

- Worked with 45 primary and secondary schools and continued to build solid relationships with senior leaders, PGCE providers and HR/LA colleagues.
- Dealt with 229 vacancies (171 teaching posts, 57 support posts) with 219 filled first time, the remaining 10 being subsequently filled. Indicative savings on supply costs (based on average cost of £160 a day) on a teacher working in a school for a term (7 weeks) and filling 171 teaching posts means a saving of £958k a term.
- Filled 29 teaching posts from talent pools established from outside the area.
- Filled 57 support roles in 12 schools first time where previous recruitment campaigns had failed for 8 schools
- Filled 40 posts with no advertising costs, saving each school on average £780 per post (based on a Secondary TES bronze online advert). Total saving £31k.
- Attracted and recruited 40 teachers and support professionals from out of the area, who have relocated from Newcastle, Doncaster, Bradford, Wakefield, Leeds, Darlington, London, Redcar and Cleveland, Birmingham, York, Tunisia, Hull, Barnsley and Sweden.

5.16 Traditionally schools recruitment is face to face, but through Covid lockdown and safety restrictions schools have been supported to continue recruitment, remotely and successfully, avoiding gaps in school resourcing. DfE have audited the resourcing programme, highlighting it nationally as an example of excellence. The team continues to work closely with DfE having completed a pilot to support the development of national school vacancy portal for launch in April 2021.

Apprenticeships

5.17 2020/21 is the third full year of the apprenticeship levy scheme in operation. Actual spend since April 2019 and committed and forecast for 2020/21 are as follows:

Full year 2019/20 and at Q3 2020/21			
Levy Deduction		Levy Spent	Apprentice starts
Corporate	£1,315,211	£1,047,833	155
Schools	£1,392,288	£155,317	38
Total	£2,707,499	£1,203,150	193

5.18 Since April 2019, 118 apprentices have started, 107 in NYCC roles and 11 in schools in 2019/20. The remaining 75 started in 2020/21 with 48 in NYCC roles and 27 in schools. 131 have completed across apprenticeships in Business Administration,

Health & Social Care and Leadership Management, Legal and Accounting, Digital and Construction.

- 5.19 NYCC's levy spend for 2019/20 and to date in 2020/21 is c£1.2m with £1.05m spend on core council and £155.3k on schools' apprentices. As previously reported, unspent funds started to expire in May 2019. NYCC began returning funds from the levy pot to the treasury in September 2019. A total of c£882.5k has been returned to date of which 100% is schools unspent contributions.
- 5.20 During the Covid 19 pandemic NYCC apprenticeships have continued to be delivered virtually and those unable to continue have being placed on break in learning (BIL) and resumed when services were able to support the learning again. 31 apprentices initially affected, 27 in HAS Adult Care, and 4 in schools. As at the end of Q3 2 apprentices remained on BIL, 1 in Adult Care and 1 Kitchen staff in schools. Also 13 starts in Adult Care were delayed and are now being progressed with 7 apprentices commencing in Q3 and the remaining forecasted to commence in Q4.
- 5.21 In July 2020 the government introduced an incentive payment to businesses who hire young apprentices under the age of 25, with a new payment of £2k per apprentice and an incentive payment to businesses to hire apprentices aged 25 and over, with a payment of £1.5k per apprentice. This scheme covers new apprentices hired from 1 August 2020 to 31 March 2021. At the end of Q3 6 apprentices qualified for this, 4 in council roles and 2 in schools.
- 5.22 **Public Sector Target Report 2019/20;** As per the annual reporting requirements of the Education Skill Funding Agency (ESFA) NYCC reported on progress towards the achievement of the 2019/20 public sector apprenticeship target of 350 apprentices i.e. 2.3% of the workforce including schools. Performance against the target has decreased from 1% in 2018/19 to 0.76% in 2019/20, with council apprentices at 1.5% and schools at 0.1%. NYCC continues to have regard to the public sector target, however it was, and remains unachievable due to the continuing challenges and structural limitations previously reported as;
- The large number of part time workers whose Full Time Equivalent (FTE) makes it difficult to meet the apprentice numbers required, low contracted hours make apprenticeships ineligible or impractical.
 - Most schools are small and rural, with small workforces and a high percentage part time, making an apprenticeship almost impossible due to low contracted hours and 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. A large proportion of apprentices require functional skills training as they do not hold an equivalent qualification ie GCSE grade 4 or above, particularly in the older workforce with their qualifications not being equivalent. 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 affecting opportunities in Business Administration and Schools IT.

5.23 **Priorities for work on apprentices in year** have focused on:

- **Levy Transfer**; as previously reported, from March 2019 NYCC could transfer 25% of its levy pot to non-levy paying employers. Work continues on this as a way to spend the levy and reduce funds returned, whilst also supporting local employers to expand and develop their workforce. Work continues with the York and North Yorkshire LEP and other partners to deliver this. Examples include:
 - The Hambleton Construction Skills Village supports local residents into apprenticeships and jobs within the construction industry locally.
 - Continuation of support to the Scarborough Construction Skills Village, in partnership with Scarborough Borough Council, to support local construction skills agenda.
 - Health Education England are working with local care services to market apprenticeships. NYCC have identified that they will be willing to look to support any local employer that requires transfer levy funds.

26 transfer levy agreements are in place for 71 apprentices at a total value of c£449k (over the life of the apprenticeships), 53 in the Care Sector, 15 in the Construction Industry, 1 in Engineering, 1 in the Voluntary Sector, 1 with Veritau. A further 132 apprenticeship applications are in progress at an additional value of c£555k, 126 in the Care Sector and 6 in the Construction Industry.
- **Engagement with Schools** to optimise levy spend; Work continues with schools with information on apprenticeships and current government incentives promoted on the CYPS schools information website, attendance at the Schools Finance conference, and identifying positive case studies in schools to promote apprenticeships as successful learning and development solutions.
- **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. NYCC continues to support Coventry University, Scarborough (CUS) through a collaboration agreement, currently on CUS programmes are 11 staff on the Chartered management degree apprenticeship and 8 on the Digital and technology solutions professional degree apprenticeship. In Q3 2020/21 8 digital and technology solutions professional apprentices graduated with outstanding results. There are also 4 Chartered management degree apprentices enrolled with York St. John University and 1 with Serco Education. An additional 9 higher level Apprenticeships include Chartered Legal Executive, Accountancy Taxation Professional, Civil Engineer, Digital and Technology Solutions Specialist, Data

Scientist, Social Worker, Teacher, Senior Leader and Career Development Professional.

- **Continued role mapping and workforce planning** work with directorates; New apprenticeship standards continue to be reviewed and discussed with services as part of ongoing workforce planning. Apprenticeship are considered initially as learning and development solutions in all areas where training needs are identified for individuals/teams/roles. For example the Social Work apprenticeship standard was approved for delivery in 2018. Work continues with CYPS and HAS to look at the integration of this route into the current pathways into Social Work within the organisation. There are currently 12 apprentices on programme; 10 in CYPS and 2 in HAS.

Graduates

- 5.24 The graduate programme continues to be successful with 26 on the programme, 82% retention and 67% of the 2017 cohort remaining at NYCC. A summer 2020 cohort of 15 graduates were recruited, including 4 for Ryedale District Council (RDC), with virtual welcome briefings held to support line managers and their graduates trainees with on-boarding and understanding the graduate scheme corporate minimum standards and ways to access the graduate scheme development offer. New and existing graduates connect through virtual graduate networks. Feedback from services indicates the calibre and contribution of graduate talent is adding value, and Graduate Trainees continue to express positive feedback about their experiences on the council's graduate scheme. Plans for a summer 2021 cohort of around 15 graduates is current underway including 4 for RDC.

Staff advertising

- 5.25 Full year advertising spend was £37.6k for 2019/20, down on the previous year, while spend for the 1st 3 quarters of 2020/21 is just £7.6k, although the 4th quarter is always higher as it includes an annual subscription to online platforms so likely to be nearer £25k.

6.0 Diversity and Inclusion (D&I)

- 6.1 The aim is to be an inclusive and diverse employer where employees feel valued and supported to be themselves at work. As well as being an important part of our wider commitment and approach, as a council to diversity and inclusion, this provides real benefits including a better understanding of our communities and service users, greater retention, and greater appeal as an employer, which improves recruitment.
- 6.2 The new D&I programme focuses on four core themes:
Culture, Communication and Connection;
Structure and Governance;
Talent Management;
Teaching, Awareness and Education.

- 6.3 These recognise the need to take a multi-faceted approach to achieve change, with continued engagement with staff central, listening to their experiences, and taking their feedback in to account.
- 6.4 Three **employee networks** have been set up to capture the experiences of colleagues from underrepresented backgrounds: the Black, Asian and Minority Ethnic (BAME) Employee Network, the Disabled Employee Network (DEN), and the LGBT+ Employee Network. Whilst still early in their development, the staff networks have proven to be a valuable asset, not only in the support and sense of community that they provide members with, but also in shedding light on staff experiences, and areas that require improvements. So far, the [BAME Network](#) has 15 attendees, the DEN has 22 attendees with 41 [Yammer page](#) members, and the [LGBT+ Network Yammer page](#) has 14 members.
- 6.5 Diversity and inclusion is not about ‘tolerating’ difference, but actively celebrating it. Through celebrating awareness days it has been possible to promote and normalise discussions on issues relating to diversity and inclusion. Celebrations have included [National Inclusion Week](#), [LGBT+ History Month](#), International Women’s Day, [Women’s History Month](#), among others. From social media posts, Yammer posts, intranet articles and senior blog features, staff have been engaged in a number of ways. To build on this and diversify ways of engagement in topics relating to diversity and inclusion, the NYCC & Me podcast was developed. The podcast offers a space for deeper conversations about diversity and inclusion, providing a platform for colleagues to speak about their lived experience. The [first episode](#) featured Barry Khan reflecting on 2020 and the creation of the BAME Employee Network. The [second episode](#) features a conversation between Chris Jones-King and local young LGBT+ resident Kate Owen as they reflect on LGBT+ History month and their experiences of growing up as LGBT+ people. [Episode three](#) features Justine Brooksbank reflecting on International Women’s Day and her experiences.
- 6.6 Going forward, there is much to be positive about when it comes to our diversity and inclusion journey. Through engaging with staff and senior leadership support for this agenda, real and lasting change is achievable. Employees can be confident that NYCC is a place that values them and what they bring to our modern council. Future work includes;
- Building on employee networks and enabling groups to shape the change needed
 - Improved training and development for staff and managers
 - Ongoing education and cultural awareness communication programme
 - Development of our external and internal inclusive employer profile
 - Improve D&I analytics and inclusive engagement indicators to measure success
- 6.7 **Gender Pay Gap** - The Council’s median gender pay gap is calculated and published annually, and has reduced each year that figures have been reported. The latest figure shows a further reduction from 11.8% in 2017 down to just 2% this year. Job evaluation ensures that all employees are paid fairly according to the job-evaluated value of their role.

- 6.8 In the period since reporting began NYCC have applied the new national NJC pay spine to a new pay and grading structure, with pay at the lowest pay point increasing by 23% from £7.52 to £9.25 per hour in this period.
- 6.9 This significant reduction in NYCC's gender pay gap comes at a time when analysis by the Times suggests that the gender pay gap has widened over the past year, with women earning 89p for every £1 men earn, on average. The study shows that the pay gap widened to 11.1% in 2021, up from 10.6% last year, 9.5% in 2019 and 9.3% in 2018. It was also found that 38% of organisations included in the research had a larger median pay gap than last year. The analysis also shows that the majority of industries pay men more than women on average, with the pay gap widening in nine out of 21 sectors.
- 6.10 NYCC's success in reducing the gender pay gap evidences that the Council is successfully tackling systemic issues such as occupational segregation where traditionally more women have been employed in lower paid care and cleaning roles. Men and women are now employed more evenly across all pay grades. It is also evidence of success in encouraging women into science and technology and that women are supported in their return to work after having children so they do not have to step off the career ladder.

7.0 Engaging the Workforce

- 7.1 The county council's workforce operates in an environment of continual change and is encouraged to challenge how things are done, to improve service delivery and be an active part of the changes underway. How they are engaged is crucial to the success of all change, listening to what staff have to say and responding to their views.
- 7.2 A Pulse Survey took place in summer 2020, with a focus on working through Covid with a 34% response rate. Satisfaction rates amongst the workforce had overall increased since the last survey pre Covid from 71% in 2019 to 83.5% in 2020. Noticeable increases in satisfaction included senior management communications; 53.55% in 2019 to 87% in 2020, and staff having the right resources (such as technology) to support working effectively as a result of new working arrangements; 69% in 2019 to 83% in 2020. A number of initiatives on workplace wellbeing continue to be developed to support staff on health, wellbeing and resilience issues as part of the response to the survey.
- 7.3 There was a 34% satisfaction increase in senior management communications to staff in the 2020 pulse survey (53.55% in 2019 to 87% in 2020). Engagement of staff through senior communication continued to develop throughout 2020, with the greater use of Yammer, as part of the Microsoft Teams roll out. Regular emails and blogs from senior management as well as the introduction of the Chief Executive's webinars were positively received by staff. Feedback from the survey informed that the increase in online communication from management teams increased accessibility to senior managers and provided effective staff support and team building.
- 7.4 A full staff survey is scheduled for summer 2021 to benchmark staff engagement,

wellbeing and resilience and to inform approaches and optimise resources.

- 7.5 Engagement with middle managers continued via 11 virtual sessions throughout October 2020 in 'shared conversations' with Assistant Directors. Over 300 middle managers discussed managing teams under new ways of working. The sessions explored how to continue to build engagement, motivation and trust as well as maintaining relationships through different working arrangements. Managers were able to share their experiences as well as ask questions. Overall, virtual sessions were very successful and widely received with an increase in attendance by 18% from 2019, when the sessions had taken place at venues across the County.
- 7.6 In December 2020, the sixth annual staff innovation awards event was hosted in recognition of the inspiring achievements over the past year. There were 68 entries for the 2020 awards highlighting innovation and achievements across the Council, the largest number of entries since the awards were launched in 2015. The awards ceremony took place virtually with shortlisted teams sending videos to showcase their entries across the categories of Improving the Customer Experience, Improving Efficiency & Effectiveness; Inspiring Change Behind the Scenes; People's Choice; and the Chief Executive's Award: Going the Extra Mile. There was a fantastic response to the virtual event with almost 500 staff attending to support their colleagues' amazing work during a very difficult period.
- 7.7 With the rollout of MS Teams across the organisation, staff engagement has continued to develop with the use of Yammer groups for social group conversations amongst staff. There has been a number of successful Yammer communities established across key development themes such as health, wellbeing & resilience groups; new ways of working; diversity & inclusion; as well as a middle managers discussion group.

8.0 Learning and Development

- 8.1 Strengthening the workforce by developing the requisite knowledge, skills and behaviours to meet the workforce priorities is important, and headline data for Q1-3 2020/21 is below:
- 567 classroom training events for 4,937 delegates (incl. 462 from PVI Sectors)
 - 94 started a qualification with 99 completed with 259 on-going.
 - 11,808 mandatory online learning completions (inc 2,757 from PVI Sectors)
 - 23,277 non-mandatory online learning completions (inc 7,091 from the PVI)
 - 987 CPD training/learning activities undertaken
 - A programme of leadership and management webinars were developed in Q1 and delivered in Q2 with 58 webinars delivered to 478 managers including:
 - Leading people through change webinar
 - Values based leadership webinar
 - Managing remote or virtual teams webinar
 - Understanding your team webinar
 - Managing Performance remotely webinar

- Having a difficult conversation webinar
- Talking about mental health webinar
- 23 middle managers completed Middle Management Programme with a further 41 starting as cohort 11 in September.

8.2 Online learning resources, all delivered via the Learning Zone, accessed by staff from any device 24/7:

- Ashridge (Learning materials for managers) 2,882 views
- Stream Learning 1,662 views
- Learning Nexus 7,064
- Learning Zone views 769,715

8.3 The key training and learning priorities for 2020/21 included;

- Implement a new, much more blended learning approach incorporating webinars, online packages and classroom workshops as a move away from a predominantly classroom based approach.
- Deliver quality interventions to meet needs emerging from the Beyond 2020 future workforce work, and Covid 19 service needs, plugging skills and knowledge gaps.
- Equip managers with requisite skills to enable them to manage new ways of working, navigate change and manage staff wellbeing.
- Develop better knowledge and skills around the diversity and inclusion agenda.
- Support health integration by co-delivery of training and learning between health and social care colleagues.
- Provide necessary training and learning activities to support NY Highways.
- Ongoing training to support organisational development work and service transitions, including team development and behaviour change.
- Support for HAS including a new delivery model increasing accessibility to training, as well as emerging needs resulting from the pandemic.
- 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 working relationship with external providers post funding.
- Build on successes such as the accreditation to Skills for Care Training Provider Endorsement Framework and the Head First Approved Mental Health training providers list by increased commercial growth in new areas.
- Further grow ability and scope of virtual learning to enable agile and flexible delivery and expand our offer with different resources and learning tools.
- Continue to support a high number of Assessed and Supported Year in Employment (ASYE) programmes for Newly Qualified Social Workers (NQSW)
- Provide mentoring, observation, support groups, guidance and advice for over 100 Practice Educators in social care.

- Continue succession planning alongside service planning and individual performance management, with the annual review of 'hotspot roles' completed as services assess risk and readiness of senior management, service critical/statutory and hard to recruit or retain roles, whilst developing internal talent and workforce plans.

9.0 Pay and Reward

- 9.1 **Pay Structure** - Evidence suggests the council's new pay structure, introduced April 2019, has been successful in attracting and retaining staff within the relevant pay market for professional and management roles. It has 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. Pay and allowances are reviewed regularly to ensure they remain competitive, attractive and appropriate. Senior pay is benchmarked against both local and comparable national councils, which illustrates for example a management leanness (ratio of headcount to managers earning over £50k) of just 0.9% compared to 4% at similar sized County Councils and at local District councils.
- 9.2 **Employee benefits** - The employee benefit scheme has been reprocurd, with many improved offers on the new platform. The variety of employee benefits include Cycle to Work (now open for orders at any time); green lease cars with Tusker; home technology with Let's Connect; Financial Wellbeing with Salary Finance; and improved health cash plans with BHSF Touchpoint. The benefit platform offers a range of attractive offers for employees.

10.0 Workforce Strategy

- 10.1 The workforce strategy is undergoing a refresh with a renewed focus on new ways of working post Covid lockdown supporting the Modern Council principles:
- Transforming the organisation;
 - Managing and developing talent;
 - Driving performance;
 - Engaging the workforce; and
 - Workplace wellbeing
- 10.2 The workforce plan provides 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.
- 10.3 To deliver the Council Plan ambition as an innovative and forward thinking Council, the workforce is being supported to be agile, working in modern and efficient ways, maximising the use and exploiting the full potential of technology and workspaces, to enable collaborative and flexible working in all locations.
- 10.4 During the pandemic a significant amount of the workforce have been working efficiently from home. Working from offices has been limited to those who are unable

to work from home and or essential work that cannot be undertaken from home. Work is now underway to look at what the modern workplace may look like, post Covid, to enable working in a more flexible way. This includes looking at the design of our buildings to include spaces for collaboration and project work as well as individual spaces. Technology to enable flexible working. Engagement with managers and staff will take place to help ensure that best use is made of our spaces and the ways in which we work going forward.

11.0 Conclusion

- 11.1 It has been an extraordinary and unusual year dominated by Covid, with furlough, testing, PPE, vaccinating and homeworking continuing. The working environment and how staff work going forward will probably be changed permanently with greater hybrid working, increased use of technology, and reduced travel. In the coming year there will be further challenges to address the impact of Covid: important work on supporting young people into employment using new government initiatives to good effect, and support to the care and education section with recruitment to the benefit of our communities. Work will continue to support improved diversity and inclusion. The other major challenge is to start to develop the work agenda for Local Government Review once the outcome is known. The focus for this will be excellent communication and engagement as well as support for the workforce to help them remain resilient through a continuing period of change.

Justine Brooksbank, Assistant Chief Executive (Business Support)

This page is intentionally left blank

NORTH YORKSHIRE COUNTY COUNCIL

CORPORATE & PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE

19 April 2021

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 in March 2020, 2 reviews and updates of the Corporate Risk Register have been carried out. There have been changes made at both reviews – 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 At the annual review in November, we also reviewed and revised the corporate financial impact thresholds/risk appetite of the Council. In the present financial climate and Council's landscape of activities it seemed appropriate to increase them. The financial thresholds/risk appetite have/has changed as follows:

<i>Previously</i>	<i>Current</i>	
Low	up to £2m	→ up to £3m
Medium	up to £5m	→ up to £6m
High	over £5m	→ over £6m

- 3.4 Although there is a slight delay in presenting the report to this Committee this year,

the significant amendments that were made to the Register since March 2020 are as follows:

3.5 New Risks

- Recovery from the impact of the Coronavirus – this risk reflects the need to lead an effective recovery from the outbreak of Coronavirus in North Yorkshire. It also reflects how to mitigate the adverse impact on the health and wellbeing of residents and staff, long-term damage to the local economy and financial position of the County Council, and inadequate arrangements for the education of children and young people.
- Local Government Reorganisation – this risk looks at the local government reorganisation for North Yorkshire

3.6 Deleted Risks

- Schools Funding Challenges – this risk remains at Directorate level with appropriate factors being incorporated into the corporate Funding Challenges risk.

3.7 Significantly Changed Risks

- None.....although the Committee may wish to note that the Significant Incidents risk reflects the County Council's response to the Coronavirus.

3.8 With regard to the remaining risks, the EU Exit risk was reduced on its 2nd ranking and the Significant Incidents risk has gone up on its 1st ranking to reflect the response to the Coronavirus. 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.

3.9 To assist Members interpret **Appendix A**

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

3.10 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

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

5.1 That the Committee note:

- (i) The updated Corporate Risk Register (**Appendix A**) and;
- (ii) The links between the Corporate and Directorate risk registers (**Appendix B**).

GARY FIELDING
Corporate Director – Strategic Resources

County Hall, Northallerton
April 2021

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

Background papers: None

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – summary**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Change	Risk Title	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		
◀▶	20/187 - 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	11	30/06/2021	H	L	M	L	M	2	Y	CD SR
◀▶	20/207 - Beyond 2020 Change Programme	Failure to 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	11	31/03/2021	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 medium term resulting in legal challenge, unbalanced budget and public dissatisfaction	Chief Exec	CD SR	H	H	H	H	H	1	9	31/01/2021	M	H	H	M	M	2	Y	All Mgt Board
▶	20/235 - Ending of EU Exit Transition Arrangements	At the end of the EU Exit transition period (31 December 2020) and/or the phased introduction of border checks (30 June 2021) the UK has sub-optimal trade deals and other arrangements resulting in difficulties (which impacts on residents and local businesses), in price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; adverse impacts upon the local economy and infrastructure and environmental standards; data protection; some EU citizens living in the county who do not have settled or pre-settled status will be unable to work, study, rent housing or have recourse to public funds causing an impact on recruitment, damaging community cohesion, and necessitating additional expenditure to support the most vulnerable.	Chief Exec	All Mgt Board	H	M	H	M	M	1	26	31/01/2021	M	M	H	M	M	2	Y	Chief Exec
◀▶	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	14	31/12/2020	H	M	M	M	M	2	Y	CD HAS
◀▶	20/245 - Recovery from Coronavirus	Failure to lead an effective recovery from the outbreak of Coronavirus in North Yorkshire resulting in adverse impact on the health and wellbeing of residents and staff, long term damage to the local economy and financial position of the council, and inadequate arrangements for the education of children and young people	Chief Exec	CSD AD PPC	H	M	H	M	H	1	11	31/08/2021	M	M	H	M	H	2	Y	Chief Exec
◀▶	20/236 - Opportunities for Devolution and	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through	Chief Exec	CD BES	H	M	H	H	H	1	15	31/12/2020	M	M	M	M	M	4	Y	CD BES Chief Exec

Page 28

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – summary**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Identity			Person		Classification											Fallback Plan				
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
	Growth in North Yorkshire	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 recover from the impact of the Virus, attract, retain and grow businesses and raise living standards across North Yorkshire																		
	20/47 - Partnership and Integration with Health	Failure to achieve the best outcomes from working jointly with the Commissioner and Provider resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes	Chief Exec	CD HAS	M	M	H	M	M	2	20	31/01/2020	M	M	H	M	M	2	Y	CD HAS
	20/244 - Significant Incidents	Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation	Chief Exec	Chief Exec	M	L	H	L	H	2	5	31/01/2021	L	L	H	L	M	3	Y	Chief Exec
	20/189 - Safeguarding Arrangements	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.	Chief Exec	CD HAS CD CYPS	M	H	M	M	H	2	18	31/03/2021	L	H	M	M	H	3	Y	CD CYPS CD HAS
	20/247 - Local Government Reorganisation	Failure to achieve the most effective local government reorganisation for North Yorkshire leading to suboptimal savings, inferior local government arrangements, potential delay in a Devolution deal and an impact on work commitments such as the Beyond 2020 Savings Programme and other projects.	Chief Exec	Chief Exec	M	H	H	H	H	2	7	09/12/2020	L	H	H	H	H	3	Y	Chief Exec

Page 29
- new -

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

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/187	Risk Title	20/187 - Information Governance				Risk Owner	Chief Exec		Manager	CD SR
Description	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to Fol requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc					Risk Group	Legislative		Risk Type	CS 15/161	
Phase 2 - Current Assessment											
Current Control Measures			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); Fol – controls include central monitoring of receipt and progress, regular review by Veritau and review of outstanding cases by the Chief Exec on a monthly basis; proactive monitoring of all data; terms of reference reviewed; 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; Data Quality Improvement Action Plan agreed; Directorates' discussion on the potential outcome of a cyber-attack carried out; DPIAs in place;								
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
Reduction	15/423 - Continue to emphasise personal responsibility of staff for all information in this area and consider disciplinary action in cases of data breaches					Action Manager	CD SR CSD ACE BS		Action by	Tue-31- Aug-21	
Reduction	15/424 - Continue to review information asset registers and target training where appropriate (ongoing)					Action Manager	CSD SR AD T&C Ho Int Audit		Action by	Tue-31- Aug-21	
Reduction	15/426 - Continue to ensure individual information sharing agreements completed for each data sharing activity - (ongoing)					Action Manager	Ho Int Audit		Action by	Tue-31- Aug-21	
Reduction	15/431 - Continue to work within services in a prioritised order to ensure information (electronic and physical) is secure and transferred securely (ongoing) (linked to Microsoft 365 roll out)					Action Manager	CSD SR AD T&C		Action by	Tue-31- Aug-21	
Reduction	15/433 - Continue communications to staff to ensure good Information Governance including messages from Management Board and associated campaigns (ongoing)					Action Manager	CSD SR AD T&C Ho Int Audit		Action by	Tue-31- Aug-21	
Reduction	15/611 - Ensure Data Protection risks are managed to comply with GDPR (ongoing)					Action Manager	CSD SR AD T&C		Action by	Tue-31- Aug-21	
Reduction	15/612 - Data Quality Improvement - 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 Manager	CSD SR AD T&C		Action by	Thu-30- Sep-21	
Reduction	15/613 - Documents and Record Management - implement the approach to document and records management and storage with the Council that encompasses both physical and electronic information (linked to Microsoft 365 roll out)					Action Manager	CSD SR AD T&C		Action by	Tue-31- Aug-21	
Reduction	15/636 - Review existing training and continue to develop and implement appropriate training relating to quality and security of information					Action Manager	CSD SR AD T&C Ho Int Audit		Action by	Tue-31- Aug-21	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	15/793 - Review impact on Veritau and audit days required and implement actions required (ongoing)	CD SR	Tue-31-Aug-21								
Reduction	15/844 - Review and revise Business Continuity Plans with Directorates to take into account actions required following a cyber-attack	CSD SR AD T&C	Wed-30-Jun-21								
Phase 4 - Post Risk Reduction Assessment											
Probability	H	Objectives	L	Financial	M	Services	L	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	15/514 - Review Action Plan and new technology and continue to raise awareness. Invite ICO to carry out an audit of NYCC IG systems									Action Manager	CD SR

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/207	Risk Title	20/207 - Beyond 2020 Change Programme				Risk Owner	Chief Exec		Manager	CD SR
Description	Failure to 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					Risk Group	Strategic		Risk Type	CS 15/11	
Phase 2 - Current Assessment											
Current Control Measures			Transformation programme; alignment with Council Plan and corporate priorities; Members workshops & political group sessions completed; briefings of Cabinet; regular Mgt Board/Programme Board meetings; staff communication constantly reviewed and cross cutting themes programme board continue to meet and follow the governance structure; quarterly meetings with finance ADs and programme managers to align savings against programme budgets; review carried out of governance and areas of future focus for Programme Board; all major change programmes are captured within this Programme to better manage dependencies and resources; Enhanced Strategic Support service to ensure high quality and robust service and team planning; action plan following peer review monitored; 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; fundamental review of the organisation's design and development programme carried out; BEST approach embedded into service planning;								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	15/634	Further shape the emerging Beyond 2020 Programme (taking into account Covid-19 and LGR) to lead to identifying new areas of cross cutting programmes for implementation going forward					CSD SR AD T&C	Wed-31-Mar-21			
Reduction	15/635	Continue to carry out fundamental review of projects, reassessment of priority and agree outcomes					CD SR CSD SR AD T&C	Tue-31-Aug-21			
Reduction	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	Tue-31-Aug-21			
Reduction	15/831	Continue to monitor delay of Programmes and the effect on benefits (ongoing)					CSD SR AD T&C	Tue-31-Aug-21			
Reduction	20/52	Refresh and carry out a revised plan for reviewing base budgets in 2020/21 on a risk based assessment and linked to focussed reviews					CD SR	Wed-31-Mar-21			
Reduction	20/386	Approve detailed business plans for all businesses within the Brierley Group. by Shareholder Committee and Brierley Board and report progress to those bodies					CD SR	Thu-30-Sep-21			
Reduction	20/403	Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)					CSD HoC	Tue-31-Aug-21			
Reduction	20/491	Identify and target additional savings through corporate Procurement Strategy (ongoing)					CD SR	Thu-30-Sep-21			
Reduction	20/526	Continue to develop effective Commercial operations where appropriate (ongoing)					All Mgt Board Chief Exec	Tue-31-Aug-21			
Reduction	20/595	Develop transformational themes and produce outline business cases for Assess and Decide; Resilience and Wellbeing; Modern Council +; Environment					All Mgt Board	Wed-31-Mar-21			
Reduction	20/729	Fundamental review of Change Programme in light of Covid 19 issues and Local Government Reorganisation					All Mgt Board CSD SR AD T&C	Wed-31-Mar-21			

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020)** – detailed

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	15/561 - Carry out service cuts									Action Manager	All Mgt Board

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/1	Risk Title	20/1 - Funding Challenges				Risk Owner	Chief Exec		Manager	CD SR
Description	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction					Risk Group	Resources		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Existing MTFS; Members Budget seminars; 2020 North Yorkshire Programme & constituent elements including service reviews; review of 2020NY in Members seminars, Cabinet, and Overview and Scrutiny Committees where Directorate based; 2020NY Programme Governance; modelling on implications of external funding levels (eg Spending Review Settlement); next phase of savings ideas generated; meetings with traded services' managers completed; interim NYES business plan in place; sustainable additional social care funding; advocacy work including with MPs, CCN and professional networks; initial review of the impact of the 1 year spending round (linked to action20/617);								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	15/721 - Ensure the Council takes advantage of available central government incentives such as grants and any potential funding is monitored, together with engagement in relevant consultations (eg job support scheme)						CD SR CSD ACE BS CSD AD SR (ML)	Wed-31-Mar-21			
Reduction	20/46 - Ensure effective consultation/communication with staff, public and Members about ongoing savings requirements						All Mgt Board	Sun-31-Jan-21			
Reduction	20/616 - Ensure active participation in professional networks and LG pressure groups (for example CCN and LGA) to shape activity in relation to advocacy (ongoing)						All Mgt Board	Sun-31-Jan-21			
Reduction	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 HASCD SR	Wed-31-Mar-21			
Reduction	20/618 - Implement Beyond 2020 Change Programme to address ongoing savings for the new MTFS (on hold).						All Mgt Board	Wed-31-Mar-21			
Reduction	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)	Sat-31-Jul-21			
Reduction	20/751 - Further develop and implement a robust programme for high needs/SEN to identify cost reduction measures (ongoing)						CSD AD SR (HE)	Sat-31-Jul-21			
Reduction	20/796 - Lobby for fairer funding review, abolition of business rates retention, new funding for Covid pressures and part of longer term spending review						CD SR	Wed-31-Mar-21			
Reduction	20/797 - Implement urgent additional measures in light of Covid – 19 pressures to restrict spending(hard nose review of reserves, no new spending initiatives)						All Mgt Board	Wed-31-Mar-21			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	M	Category	2

Corporate Risk Register

Risk Register: month 0 (November 2020)-detailed

Next Review due: May 2021

Report Date: 2nd December 2020 (pw)

Phase 5- Fallback Plan	
	Action Manager
Fallback Plan po/504- Further fundamental review in order to discharge statutory responsibilities	All Mgt Board

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/235	Risk Title	20/235 - Ending of EU Exit Transition Arrangements				Risk Owner	Chief Exec	Manager	All Mgt Board	
Description	At the end of the EU Exit transition period (31 December 2020) and/or the phased introduction of border checks (30 June 2021) the UK has sub-optimal trade deals and other arrangements resulting in difficulties (which impacts on residents and local businesses), in price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; adverse impacts upon the local economy and infrastructure and environmental standards; data protection; some EU citizens living in the county who do not have settled or pre-settled status will be unable to work, study, rent housing or have recourse to public funds causing an impact on recruitment, damaging community cohesion, and necessitating additional expenditure to support the most vulnerable.					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Work that was carried out in preparation for the potential of a hard Brexit on or before 31 December 2019; continual monitoring of developments including discussions between the UK, EU and other nations and legislation going through Parliament; awareness of changes in Employment, Procurement, State Aid and Trading Standards legislation;								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	M	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	Description					Action Manager	Action by	Completed			
Reduction	20/250 - Workforce: Monitor the potential impact on recruitment including the care sector in particular and put together an appropriate action plan if required					CSD ACE BS	Sun-31-Jan-21				
Reduction	20/400 - Business support funding programmes – monitor likely changes and ensure that changes are well communicated					CD BES	Sun-31-Jan-21				
Reduction	20/405 - Farming support funding programmes – monitor likely changes and ensure that changes are well communicated					CD BES	Sun-31-Jan-21				
Reduction	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	Sun-31-Jan-21				
Reduction	20/461 - Public Health: Continue to maintain the same high standards in promoting and protecting the health of the public. Continue to monitor variations following EU Exit and put local arrangements in place.					CD HAS	Sun-31-Jan-21				
Reduction	20/465 - Procurement: Monitor the potential impact on public procurement regulations and action any changes to law and NYCC process as they occur. Links made with Cabinet Office EU/International Procurement Policy Team. Put in place additional contract variation scrutiny for lower value contracts.					CD SR	Sun-31-Jan-21				
Reduction	20/467 - Trading Standards: Develop generic and specialist business advice packages to complement existing business advice strategy. Liaise with Citizens Advice Consumer Service (CACS) to determine their contingency plans and make any necessary adjustments to the NYCC/CACS protocol. Review whether changes are required to the trading standards tasking filter and matrix and report to BES Executive Members. Review animal disease plans and amend as necessary.					CD BES	Sun-31-Jan-21				
Reduction	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	Sun-31-Jan-21				

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	20/472 - Data Protection: Put controls in place for data transferred into and out of the UK. Review current cloud service contract and ensure controls are in place to ensure data is held in the UK. Monitor changes to the legal framework governing transfers of personal data. 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	Sun-31-Jan-21
Reduction	20/478 - Continue to receive notification on emerging guidance on areas affecting Local Government, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/480 - Take part in engagements arranged by and with the MHCLG and other Government departments through the County Councils Network, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/730 - Work as part of North Yorkshire Local Resilience Forum to ensure that civil contingencies issues are identified, evaluated and appropriate planning undertaken.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/737 - Catering - Evaluate capacity for frozen food storage. Discuss availability of food with suppliers (HAS).	CD SR	Sun-31-Jan-21
Reduction	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	Sun-31-Jan-21
Reduction	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	Sun-31-Jan-21
Reduction	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	Sun-31-Jan-21
Reduction	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	Sun-31-Jan-21
Reduction	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	Sun-31-Jan-21
Reduction	20/743 - Highways – Monitor availability and cost increase of vehicles and vehicle parts	CD BES	Sun-31-Jan-21
Reduction	20/744 - BES strategic planning/heritage – obtain clarity around the loss of ESF and how its replacement will work	CD BES	Sun-31-Jan-21
Reduction	20/745 - Council Wide – discuss contingency plans and ensure robustness	All Mgt Board	Sun-31-Jan-21
Reduction	20/746 - Communications with Members	Chief Exec	Sun-31-Jan-21
Reduction	20/747 - Continue to work with District Councils to gather intelligence around businesses particularly exposed to risk		Sun-31-Jan-21
Reduction	20/805 - Encourage exporting and importing businesses to prepare for EU Exit Transition arrangements (assistance being provided through Trading Standards and the LEP)	CD BES	Sun-31-Jan-21
Reduction	20/806 - Continue to advertise to ensure that information regarding the Local Assistance Fund reaches the appropriate people	CD SR	Sun-31-Jan-21
Reduction	20/1190 - EU Settlement Scheme – Registration Service to support applicants without access to Android phone. And through proactive campaigning by the Comms team, HAS and CYPS, ensure that every eligible person (including existing service users) is aware of and encouraged to consider applying for settled / pre-settled status	CD CYPS CSD HoC CSD PPC GM RA&C	Sun-31-Jan-21

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2

Corporate Risk Register

Risk Register: month 0 (November 2020)-detailed

Next Review due: May 2021

Report Date: 2nd December 2020 (pw)

Phase 5- Fallback Plan	
	Action Manager
Fallback Plan F/0/573- Rev1st and look at emergency measures that need to be put in place.	Chief Exec

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/194	Risk Title	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.					Risk Group	Legislative	Risk Type	HAS Dir 3/162		
Phase 2 - Current Assessment											
Current Control Measures	Regular review and monitoring of contracts in addition to close working relationship with corporate procurement colleagues. Quality Improvement Team now embedded into the service and continuing to work well. Market position statement created as an online tool to support commissioning and interventions into the market. Work underway to develop a quality pathway with enhanced market surveillance to ensure market oversight in line with The Care Act. Hardship process in place to enable financial assistance to the market where value for money and strategic need can be evidenced. Service Development function now created linked to locality working to identify market issues at an early stage and appropriate market support strategies are created. Ongoing rolling programme of audits by Veritau of individual suppliers. Initial business case approved for Intervention into Harrogate market. Enhanced care homes services in place during Coronavirus pandemic to provider wrap around support to the market.										
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	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					Action Manager	HAS AD C&Q	Action by	Tue-30-Jun-20	Completed	Tue-30-Jun-20
Reduction	20/469 - Jointly with Health continue to monitor baseline assessments QA framework and risk profiles of providers; targets are reviewed at quarterly officer meetings and info fed into engagement group; pursue opportunities for joint working between HAS and NHS with plans in place for health brokerage (brokerage pilots in place)					Action Manager	HAS AD C&Q	Action by	Tue-30-Jun-20	Completed	Tue-30-Jun-20
Reduction	20/471 - Continue with regular engagement meetings with CQC locally and engage with CQCs national programme of identifying providers where there is significant risk of failure					Action Manager	HAS AD C&Q	Action by	Tue-30-Jun-20	Completed	Tue-30-Jun-20
Reduction	20/473 - Continue to engage in ADASS work to manage major problems occurring, such as financial issues in the care provider market and ensure robust contingency planning and to learn lessons from serious case reviews at a national level; more work being done to enhance regional ways of working; this continues, working through any remaining data sharing issues with Data Governance					Action Manager	HAS AD C&Q	Action by	Thu-31-Dec-20	Completed	
Reduction	20/474 - Continue to work with Veritau on audits of individual suppliers (rolling programme in place)					Action Manager	HAS AD C&Q	Action by	Wed-31-Mar-21	Completed	
Reduction	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					Action Manager	HAS AD C&Q	Action by	Wed-30-Sep-20	Completed	Wed-30-Sep-20
Reduction	20/492 - Review any opportunities to stabilise the market through additional Govt funding given to social care for this purpose (review position each year for next 3 years of funding); IBCF being used for piloting an approach to rural dom care, supporting recruitment and training					Action Manager	CSD AD SR (AH) HAS AD C&Q	Action by	Thu-30-Apr-20	Completed	Sat-29-Feb-20
Reduction	20/538 - Developing a quality pathway, revising processes and procedure and incorporating best practice adopting a risk based / predictive approach; this will come from the focussed review					Action Manager	HAS C&Q Ho Q&M	Action by	Fri-30-Apr-21	Completed	
Reduction	20/539 - Rewriting quality policies with input from Veritau as part of focussed review					Action Manager	HAS C&Q Ho Q&M	Action by	Fri-30-Apr-21	Completed	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	20/540 - Ensure clarity around commissioning intentions using place based intelligence	HAS AD C&Q	Tue-30-Jun-20	Fri-31-Jan-20							
Reduction	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	Tue-30-Jun-20							
Reduction	20/542 - Consideration of market interventions, including development of a provider arm or a proposal to bring organisations together (initial business case approved for intervention into Harrogate market)	HAS AD C&Q	Thu-30-Sep-21								
Reduction	20/807 - Starting a system wide market development board to monitor the impact of Covid and other issues in the market; individual work streams within this to be established	HAS AD C&Q	Thu-30-Sep-21								
Reduction	20/1188 - Monitor issues caused by the complex partner relationships, meetings and structures and raise at HASLT where appropriate – ongoing	HAS AD C&Q	Wed-30-Jun-21								
Phase 4 - Post Risk Reduction Assessment											
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	20/548 - Make client safe, crisis meeting, implement relevant steps, consultation with senior staff and relevant organisations (e.g. Police CQC). Effective communication to relevant parties, utilise established failure plan.									Action Manager	CD HAS

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/245	Risk Title	20/245 - Recovery from Coronavirus				Risk Owner	Chief Exec	Manager	CSD AD PPC	
Description	Failure to lead an effective recovery from the outbreak of Coronavirus in North Yorkshire resulting in adverse impact on the health and wellbeing of residents and staff, long term damage to the local economy and financial position of the council, and inadequate arrangements for the education of children and young people					Risk Group		Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Regular Gold and Silver Command meetings, Management Board focus and timely decision making, full engagement with Partners through LRF and Recovery Coordination Group;								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/544 - Virus Control - effective management of Test and Trace Programme, and Local Outbreak Control (including the Outbreak Management Advisory Board, Test and Trace team, and Local Outbreak Control Plan.						Dir Public Health	Tue-31-Aug-21			
Reduction	20/545 - Schools – effective support to schools to ensure a safe return for pupils and staff						CD CYPs CYPs E&S PEA (S)	Tue-31-Aug-21			
Reduction	20/546 - Care Homes and Social Care – provide support to care homes and extra care settings including development of their outbreak management plans						CD HAS HAS AD C&S (Asmt.)	Tue-31-Aug-21			
Reduction	20/547 - Local Economy – continue to support businesses via initiatives such as the LEP Recovery programme, York and North Yorkshire Growth Hub, Buy Local promotion,						BES AD EPU BES AD GP&TS CD BES	Tue-31-Aug-21			
Reduction	20/548 - Isolated People - continue to provide support to isolated people through actions such as shopping and prescription collection and delivery including community support organisations						CD SR CSD PPC HoStrC	Tue-31-Aug-21			
Reduction	20/728 - Community recovery co-ordination – initiatives include personal poverty and debt assistance; Bereavement; sustainability of the voluntary sector and harnessing the strength of community action; local assistance fund plus appropriate extensions; support to food bank and similar organisations;						CSD AD PPC CSD PPC HoStrC	Tue-31-Aug-21			
Reduction	20/800 - Property – put arrangements in place to ensure the safe return of staff and the public into services and premises						CD SR CSD SR Ho PS	Tue-31-Aug-21			
Reduction	20/801 - Workforce and OD – provide guidance to managers and staff to ensure good health and wellbeing, informal communications and tutoring, good performance, a positive culture and improved ways of working						CSD ACE BS	Tue-31-Aug-21			
Reduction	20/802 - Finance – ensure all efforts are made to obtain optimal funding from Government in relation to costs incurred due to the management of Coronavirus						CD SR	Tue-31-Aug-21			
Reduction	20/803 - Services – review any changes to and/or transformation of services to improve delivery, and develop projects that will support services as part of the Beyond 2020 Change Programme						CD SR CSD SR AD T&C	Tue-31-Aug-21			
Reduction	20/822 - Clinically Extremely Vulnerable People - continue to provide support to clinically extremely vulnerable people through actions such as shopping and prescription collection and delivery including community support organisations plus regular contact						CD SR CSD PPC HoStrC	Tue-31-Aug-21			

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020)** – detailed

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	H	Category	2
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	20/596 - Continue to learn lessons, and review and revise actions taken to provide recovery									Chief Exec	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/236	Risk Title	20/236 - Opportunities for Devolution and Growth in North Yorkshire				Risk Owner	Chief Exec	Manager	CD BES	
Description	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability to recover from the impact of the Virus, attract, retain and grow businesses and raise living standards across North Yorkshire					Risk Group	Strategic	Risk Type	BES 7/174		
Phase 2 - Current Assessment											
Current Control Measures			<p>Devolution - proposals submitted to Govt., LEP strategic economic plan in place; NYCC retains the Infrastructure Delivery Steering Group; NYCC wide co-ordination of development needs linked to District plans; local authorities are moving towards a joint committee & 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; York and North Yorkshire geography and proposition established;</p> <p>Growth - 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 LGNYYP 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; District Liaison groups established with 76 Districts; Brexit consultations undertaken on behalf of NYCC and responses intelligence used for strategic response including Devolution requirements; Phase 2 options and plans for strategic natural capital investment defined in strategic Devolution documents with monetary and resource requirements;</p>								
Probability	H	Objectives	M	Financial	H	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	20/246 - Continue to monitor the Devolution agenda and communication with stakeholders to maximise opportunities (ongoing); the greater York/NY geography is being used in some areas of growth work (ongoing)					Action Manager	BES AD GP&TS	Action by	Sun-31-Oct-21	Completed	
Reduction	20/364 - Devolution - Gain political support both locally and nationally (ongoing)					Action Manager	Chief Exec	Action by	Sun-31-Oct-21	Completed	
Reduction	20/549 - Growth - Carry out an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan including the Coronavirus recovery plan (ongoing) (refreshed draft Growth Plan produced as at 31 March 2020. Timetable including consultation agreed at Growth Plan Steering Group 1 July and an Executive meeting is booked for Dec 2020)					Action Manager	BES AD GP&TS BES GP&TS HoSP&EG	Action by	Thu-31-Dec-20	Completed	
Reduction	20/550 - Growth - Continue to embed enhanced collaborative working arrangements with District Councils (annual review of progress and for 2020 there is the need to consolidate the process with a pipeline of strategic projects to work together on.) - ongoing					Action Manager	BES AD GP&TS	Action by	Fri-31-Dec-21	Completed	
Reduction	20/552 - Growth - Maintain good working relationship with the LEP (including work to align LEP funding with the Directors of Development master planning funding. Also teams working with the LEP to deliver a series of Webinars) (ongoing)					Action Manager	CD BES	Action by	Fri-31-Dec-21	Completed	
Reduction	20/553 - Growth - Continue to understand and investigate any impacts of Brexit and ensure opportunities are taken					Action Manager	BES AD EPU CD BES	Action by	Thu-31-Dec-20	Completed	
Reduction	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 LGNYYP Board / Leaders for publication and open release of the framework					Action Manager	BES AD GP&TS	Action by	Thu-31-Dec-20	Completed	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	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) ongoing.	BES AD GP&TS	Wed-31-Mar-21	
Reduction	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-30-Jun-20	Sun-31-May-20
Reduction	20/725 - Devolution - Carry out consultation for a York/North Yorkshire proposition and following approval, submit to Govt (in July 2020) and then negotiate and obtain relevant financial opportunities and powers for a combined authority.	Chief Exec	Sun-31-Oct-21	
Reduction	20/794 - Growth - Continue to understand and investigate the impacts of the Coronavirus pandemic and work with partners to develop a recovery plan to assist North Yorkshire businesses (including Trading Stds contributing a range of business advice/support initiatives to the plan.)	BES AD GP&TS CD BES	Fri-31-Dec-21	
Reduction	20/916 - Devolution - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)	Chief Exec	Fri-31-Jul-20	Sat-29-Feb-20
Reduction	20/917 - Devolution - Develop detailed business cases for different geographies	Chief Exec	Fri-31-Jul-20	Sat-29-Feb-20
Reduction	20/1197 - Devolution - Ensure delivery of LGR (estimated timescale)	Chief Exec	Wed-31-Mar-21	
Reduction	20/1397 - Devolution - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government including interim devolution deals	CD BES	Sun-31-Oct-21	
Phase 4 - Post Risk Reduction Assessment				
Probability	Objectives	Financial	Services	Reputation
M	M	M	M	M
Phase 5 - Fallback Plan				
Fallback Plan	20/572 - Carry out further discussions with Central Government if required and review and revise existing arrangements for sustainable economic growth			Action Manager CD BES Chief Exec

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/47	Risk Title	20/47 - Partnership and Integration with Health				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Failure to achieve the best outcomes from working jointly with the Commissioner and Provider resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes				Risk Group	Partnerships	Risk Type	HAS 3/180			
Phase 2 - Current Assessment											
Current Control Measures			<p>HAS: Effective HWB partnership with clear reviewed and revised - governance providing strategic leadership regarding H&W across the County; chief Officer representation influencing the development of STP/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>CYPS: H&W Board; 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; Young and Yorkshire 2 (Being Young in North Yorkshire (BY in NY) in draft);</p>								
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/60 - Ensure that we account for the BCF and IBCF funding as per the Regulations on a quarterly basis (ongoing)					CSD AD SR (AH)	Tue-31-Mar-20	Tue-31-Mar-20			
Reduction	20/362 - Ensure NHS partners are fully aware of the democratic and political environment they are operating within and liaise with Scrutiny colleagues to ensure a positive outcome (ongoing)					CD HAS	Tue-30-Jun-20	Tue-30-Jun-20			
Reduction	20/363 - Actively monitor relationships, priorities and communications and ensure that HAS managers are fully engaged at appropriate level and review at HAS WLT on a regular basis (ongoing)					CD HAS	Wed-30-Jun-21				
Reduction	20/399 - Develop proposals to align to the emerging new Primary Care Networks which will be established. (temporarily implemented due to Covid-19 requirements and reviewed during recovery).					HAS AD HI	Sun-31-Jan-21				
Reduction	20/402 - Review arrangements relating to time limited additional social care funding at March service plan challenge with Chief Exec					CD HASCD SR	Tue-31-Mar-20	Tue-31-Mar-20			
Reduction	20/451 - Agree and implement Harrogate and Rural Alliance (Sept 2019 complete) integration of community health and social care services and also further new models of care when emerging new Primary Care Networks are established					CD HAS	Wed-31-Mar-21				
Reduction	20/452 - Engage wider HASLT in testing the implications of different integration models (ongoing)					HAS AD C&Q HAS AD HI	Wed-31-Mar-21				
Reduction	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					HAS AD C&Q HAS AD C&S	Tue-30-Jun-20	Tue-31-Mar-20			
Reduction	20/458 - Consider MoUs for STP / ICS across the County that explicitly define the Council's involvement and engagement in these arrangements					CSD AD SR (AH) HAS AD HI	Wed-31-Mar-21				

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	20/481 - Continue to contribute to the delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and the Young and Yorkshire 2 (Being Young in North Yorkshire (BY in NY) in draft) (ongoing)	CD CYPs	Thu-30-Sep-21								
Reduction	20/528 - Commission a review of CHC arrangements relating to the needs of children with SEND (draft report completed Mar 2020)	CSD AD SR (HE) CYPs AD Incl	Mon-31-Aug-20	Mon-31-Aug-20							
Reduction	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	Tue-31-Mar-20							
Reduction	20/724 - Ensure full participation across Health and the Local Authority in the Childhood Futures Programme	CYPs Comm Mgr Health	Wed-31-Mar-21								
Reduction	20/733 - Manage relationships at Trust and CCG level as a result of leadership changes (ongoing)	CD HAS	Tue-31-Mar-20	Tue-31-Mar-20							
Reduction	20/734 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health	CSD AD SR (HE) CYPs AD Incl	Wed-31-Mar-21								
Reduction	20/735 - Work jointly with CCGs to improve and enhance CHC operational pathways whilst working within the National Framework; temporary enhanced working CHC team in place	HAS AD C&Q	Fri-30-Apr-21								
Reduction	20/748 - Carry out a post implementation review of HARA	HAS AD HI	Wed-31-Mar-21								
Reduction	20/798 - Review all processes relating to DToC (Delayed Transfer of Care) during recovery from Coronavirus impact to ensure they are sustainable	HAS AD C&Q HAS AD C&S	Wed-30-Jun-21								
Reduction	20/799 - Ensure records of decision making during Coronavirus pandemic are complete	CD HAS	Wed-31-Mar-21								
Reduction	20/828 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health.	CSD AD SR (HE) CYPs AD Incl	Wed-31-Mar-21								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	20/210 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.									Action Manager	
										CD HAS	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**
 Next Review due: **May 2021**
 Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/244	Risk Title	20/244 - Significant Incidents				Risk Owner	Chief Exec		Manager	Chief Exec
Description	Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation					Risk Group	Performance		Risk Type	CS 15/200	
Phase 2 - Current Assessment											
Current Control Measures			NYLRF and RMCI; experience and resources of partners; existing plans incl public health (training and exercises); RET; partnership working with District Councils; community resilience; silver response in the County Council major incident plan tested; approach to BCP refreshed to strengthen service resilience; Resilience Direct portal; regional multi agency pandemic exercise held; effectiveness and robustness of resilience plans relating to the public health and social care of the NY population tested; NYCC action plan developed and implemented based on the debrief report recommendations and all multi agency learning (including the flood reporting tool and simplification of information flow); members of national steering group on volunteers; BCP post audit action plan; Multi Agency cyber threat event held; Ready for Anything campaign; provided input to and engaged with national learning and development of best practice following incidents locally, regionally and nationally;								
Probability	M	Objectives	L	Financial	H	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	15/614 - Continue to work with our partners in Public Health England, the NHS and the wider North Yorkshire local resilience forum to share the information and messages of reassurance being issued by the lead agencies					CSD AD PPC	Wed-30-Jun-21				
Reduction	15/637 - Continue to ensure business continuity plans are reviewed, exercised and kept up to date					CD SR	Wed-30-Jun-21				
Reduction	20/464 - Through NYLRF, consider, understand and prepare for any threats that the EU Exit transition period may bring to the Authority					CSD AD PPC	Sun-31-Jan-21				
Reduction	20/970 - Continue to ensure effective co-ordination and communication with County and District/Borough Council services & NYLRF in light of reduction in resources (ongoing)					CSD AD PPC	Wed-30-Jun-21				
Reduction	20/971 - Continue to ensure effective and efficient processes are embedded amongst all partners to prioritise workstreams (incl. plans, training and exercises) (ongoing)					CSD AD PPC	Wed-30-Jun-21				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	20/207 - Embedded practice based on Response to Major and Critical Incident protocols								Chief Exec		

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/189	Risk Title	20/189 - Safeguarding Arrangements			Risk Owner	Chief Exec		Manager	CD HAS CD CYPS	
Description	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.				Risk Group	Safeguarding		Risk Type	CYPS 24/250 HAS 3/27		
Phase 2 - Current Assessment											
Current Control Measures		<p>CYPS - North Yorkshire Safeguarding Children Partnership website; regularly reviewed procedures; monthly performance data for monitoring; audit regime; manager authorisation of all assessments; LCS; missing and at risk of exploitation multi-agency procedures and Specialist Social Worker roles to support practitioners; training strategy; clear supervision process which is audited on a regular basis; Multi Agency Screening Team (MAST); OFSTED 'outstanding' categorisation; Mgt file audit of case files; monitoring and management of performance against agreed targets in the SMT action plan;</p> <p>HAS - Detailed action plan; Safeguarding general manager and team; strengthening of Safeguarding policy team; case file audit and review; independent chair to Safeguarding Board in place; risk enablement panel in place and being reviewed; countywide safeguarding general manager in place; testing of initial performance metrics for Safeguarding Board has taken place further developing performance activity; initial safeguarding procedures reviewed linked to consultation in light of the Care Act and are being reviewed again; safeguarding board performance framework; Q&E [protocol for the relationship between Adults Social Care (and Children's Trust) and the Health and Wellbeing Board agreed and implemented;] information framework for serious incident data, eg drug death etc in place; 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; including a Quality Monitoring Tool, monthly strategic meetings with CQC and Healthwatch;</p>									
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/374 - Ensure compliance with Safeguarding Board and Children and Families' procedures [CYPS]				CYPS AD C&F		Thu-30-Sep-21				
Reduction	20/382 - Continue to feed into review of EDT arrangements (adult lead) as required [CYPS]				CYPS AD C&F		Thu-30-Sep-21				
Reduction	20/384 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice; these are now in place and teams will to be involved in the planning to make these more effective [CYPS]				CYPS AD C&F		Thu-30-Sep-21				
Reduction	20/385 - Use and further development of performance dashboards to support individual managers including development of managing upwards reports which support management and ownership of performance [CYPS]				CYPS C&F HoS		Thu-30-Sep-21				
Reduction	20/456 - Continue to report regularly to HASLT, Care and Independence O&S Committee and Health and Wellbeing Board particularly in light of preparation for the latest policy and procedures. [HAS]				HAS AD HI		Wed-31-Mar-21				
Reduction	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; near miss system in place [HAS]				HAS AD C&S (Asmt.) HAS AD HI		Sun-31-Oct-21				
Reduction	20/490 - Ensure training in respect of latest policies and procedures for elected Members, staff and Partners is reviewed and delivered [HAS]				HAS AD C&S (Asmt.)		Wed-31-Mar-21				
Reduction	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) (LPS guidance delayed due to impact of Coronavirus) [HAS]				HAS AD HI		Wed-30-Jun-21				

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Reduction	20/535 - Continue to ensure Partners are fully engaged with Safeguarding Boards centrally and locally, particularly new health partners (CCGs); inter board network in place with community safety and children's board [HAS]	HAS AD C&S (Asmt.) HAS AD HI	Wed-30-Jun-21		
Reduction	20/536 - Continue to embed safeguarding work to deliver the Transforming Care programme incl. embedding the Care Act role of Principal Social Worker and Safeguarding Board Manager with closer scrutiny of Transforming Care work [HAS]	HAS AD C&S (Asmt.)	Wed-30-Jun-21		
Reduction	20/596 - Continue to strengthen Governance arrangements in HAS following consideration of North Yorkshire and national safeguarding adult reviews (ongoing) [HAS]	HAS AD C&S (Asmt.)	Wed-30-Jun-21		
Reduction	20/615 - Continue with scoping work in preparation for implementing the Liberty Protection Safeguarding Bill (linked to action 20/534) [HAS]	HAS AD C&S HAS AD HI	Wed-30-Jun-21		
Reduction	20/804 - Continue joint work with CYPS and the Community Safety Partnership with formal quarterly meetings of the InterBoard Network [HAS]	HAS AD HI	Fri-30-Apr-21		
Reduction	20/829 - Develop contingency plans around the MAST to support should demand increase [CYPS]	CYPS C&F HoS	Thu-30-Sep-21		
Reduction	20/830 - Formulation of Group Manager and Specialist Social Workers to oversee and support practice in relation to Contextual Safeguarding [CYPS]	CYPS C&F HoS	Thu-30-Sep-21		
Reduction	20/831 - 24/434 - Manage the risk that as children, young people and their families are not seen by their networks and professionals they would usually have contact with due to restrictions; If restrictions increase the pressures for families increase which in turn increases the risk. This is will be monitored closely by SLT. Escalation process are in place when families cannot be seen to ensure appropriate decision making and use of PPE if required. A Hidden Harm Group has been formulated which has raised awareness around the issue with a message for people to be even more vigilant. [CYPS]	CYPS C&F HoS	Thu-30-Sep-21		
Reduction	20/832 - Ensure that service dashboards reflect the criteria for each of the key inspection areas and are monitored on a regular basis [CYPS]	CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21		
Reduction	20/833 - Ensure pre inspection readiness within CYPS for the inspections of LA services, and for schools within the inspection window by continual monitoring of performance and identifying areas for further improvement by assessing their impact (ongoing) [CYPS]	CYPS AD C&F CYPS AD E&S CYPS AD Incl	Sun-31-Oct-21		
Phase 4 - Post Risk Reduction Assessment					
Probability	Objectives	Financial	Services	Reputation	Category
L	H	M	M	H	3
Phase 5 - Fallback Plan					
Fallback Plan	20/545 - Carry out necessary review of approach, target underperforming areas and take on lessons learned from any serious case reviews			Action Manager CD CYPS CD HAS	

Corporate Risk Register

Appendix A

Risk Register: **month 0 (November 2020) – detailed**

Next Review due: **May 2021**

Report Date: **2nd December 2020 (pw)**

Phase 1 - Identification											
Risk Number	20/247	Risk Title	20/247 - Local Government Reorganisation				Risk Owner	Chief Exec	Manager	Chief Exec	
Description	Failure to achieve the most effective local government reorganisation for North Yorkshire leading to suboptimal savings, inferior local government arrangements, potential delay in a Devolution deal and an impact on work commitments such as the Beyond 2020 Savings Programme and other projects.				Risk Group	Change Mgt	Risk Type				
Phase 2 - Current Assessment											
Current Control Measures			Development of case for change for unitary county; financial model of potential savings; expressions of support gathered from key stakeholders; preparation of transition plan; ongoing engagement with Govt officials; LGR Steering Group; regular updates with Executive' regular Member engagement;								
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/505 - Submit business case for a proposed unitary structure of local government in North Yorkshire that is considered by County Council and the Executive.						Chief Exec	Wed-4-Nov-20	Mon-30-Nov-20		
Reduction	20/523 - Submit an approved final business case to Government in line with any timescales and process as determined by Government.						Chief Exec	Wed-9-Dec-20			
Reduction	20/524 - Continue to secure expressions of support from key stakeholders						Chief Exec	Tue-31-Aug-21			
Reduction	20/527 - Monitor Government consultations on LGR proposals						Chief Exec	Fri-30-Apr-21			
Reduction	20/529 - Carry out preparations for transitioning to any new unitary structure(s) in anticipation of a final decision on the part of Government. This will include engagement with the public, staff, key partners and the 7 North Yorkshire District Councils and will take place after submission of the business case pending any decision from Government.						Chief Exec	Tue-31-Aug-21			
Reduction	20/531 - Implementation of whatever arrangements are finally determined by the Secretary of State in line with his timetable (approx. timeline given).						Chief Exec	Sun-31-Oct-21			
Reduction	20/532 - Review specialist resources that will be required.						Chief Exec	Sun-31-Oct-21			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	20/578 - Work with District Councils to enhance 2 tier working or progress a Local Government Reorganisation solution as set out by Central Government								Action Manager	Chief Exec	

Linking of Directorate risks to the Corporate risk register November 2020

(Appendix B)

Central Services Risk Register
<p>Information Governance</p> <p>Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies.</p>
<p>Beyond 2020 Change Programme</p> <p>Failure to 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.</p>
<p>Central Services Savings Plan</p> <p>Failure to deliver the Central Services savings plan as set out in the MTF5 resulting in inability to meet the budget, rationalise support services and enable the programme.</p>
<p>Significant Incidents</p> <p>Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation.</p>

Health and Adult Services Risk Register
<p>Information Governance and Health and Safety</p> <p>Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate.</p>
<p>Financial Pressures</p> <p>Financial pressures arising from difficulties in delivering MTF5 Savings requirements, managing in year financial overspends, Better Care Fund contributions, market pressure and complexity of client needs leading to service impact or additional savings needing to be identified within HAS or corporately.</p>
<p>Major Failure due to Quality and/or Economic Issues in the Care Market</p> <p>Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention.</p>
<p>Public Health</p> <p>Failure to manage the response to Corona whilst at the same time deliver a distinctive public health agenda for North Yorkshire and carry out the statutory public health functions and manage within the available funding</p>
<p>Partnership and Integration with the Health</p> <p>Failure to achieve the best outcomes from working jointly with the Commissioner and Provider resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes.</p>
<p>Safeguarding Arrangements</p> <p>Failure to have an effectively monitored, robust, Safeguarding regime and partnership arrangements in place and ensure that we fulfil our wider lead authority role (under the Care Act).</p>

Corporate Risk Register	Rank
<p>Ending of EU Exit Transition Arrangements</p> <p>At the end of the EU Exit transition period (31 Dec 2020) and/or the phased introduction of border checks (30 Jun 2021) the UK has sub-optimal trade deals and other arrangements resulting in difficulties (which impacts on residents and local businesses), in price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; adverse impacts upon the local economy and infrastructure and environmental standards; data protection; causing an impact on recruitment, damaging community cohesion, and necessitating additional expenditure to support the most vulnerable.</p>	1 2
<p>Information Governance</p> <p>Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies.</p>	1 2
<p>Beyond 2020 Change Programme</p> <p>Failure to 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.</p>	1 2
<p>Funding Challenges</p> <p>Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction.</p>	1 2
<p>Major Failure due to Quality and/or Economic Issues in the Care Market</p> <p>Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.</p>	1 2
<p>Recovery from Coronavirus</p> <p>Failure to lead an effective recovery from the outbreak of Coronavirus in North Yorkshire resulting in adverse impact on the health and wellbeing of residents and staff, long term damage to the local economy and financial position of the council, and inadequate arrangements for the education of children and young people</p>	1 2
<p>Opportunities for Devolution and Growth in North Yorkshire</p> <p>Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability to recover from the impact of the Virus, attract, retain and grow businesses and raise living standards across North Yorkshire</p>	1 4
<p>Partnership and Integration with Health</p> <p>Failure to shape and drive the configuration of the NHS from both a Commissioner and Provider perspective resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes</p>	2 2
<p>Local Government Reorganisation</p> <p>Failure to achieve local government reorganisation into a single unitary council for North Yorkshire leading to suboptimal savings, inferior local government arrangements, potential delay in a Devolution deal and an impact on work commitments.</p>	2 3
<p>Safeguarding Arrangements</p> <p>Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.</p>	2 3
<p>Significant Incidents</p> <p>Failure to plan, respond to and recover effectively from significant incidents in the community resulting in risk to life and limb, impact on statutory responsibilities, impact on financial stability and reputation</p>	2 3

Business and Environmental Services Risk Register
<p>Statutory Duties</p> <p>Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance)</p>
<p>Delivering Change Programmes within BES</p> <p>Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing programmes of change in BES e.g. the BES Beyond 2020 Change Programme.</p>
<p>Growth</p> <p>Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure and recover from the Coronavirus, whilst protecting the outstanding environment and heritage, and within the context and partnership arrangements of two-tier local government structure and wider macro-economic policy and processes.</p>
<p>Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority</p> <p>Failure to take advantage of Devolution opportunities in York and North Yorkshire resulting in reduced investment and impact on the growth and jobs across North Yorkshire.</p>

Children and Young People's Service Risk Register
<p>Information Governance and Health and Safety</p> <p>Failure to ensure that good and safe governance arrangements in respect of data security and health and safety are in place throughout the Directorate.</p>
<p>Cultural Change and Beyond 2020</p> <p>Failure to maintain a strong culture, processes and supporting capacity within CYPs to deliver Beyond 2020 at pace, failure to deliver savings targets, and address national funding and policy changes taking into account the impact of Coronavirus and LGR.</p>
<p>Schools Funding Challenges</p> <p>Inadequate revenue and capital funding available for good quality schools, maintenance of school infrastructure and to ensure the sustainability of small rural schools in particular small secondary schools;</p>
<p>Childhood Futures</p> <p>Failure to deliver the Childhood Futures strategic partnership arrangements, re-aligning and joining together several essential services for children and families into a brand-new integrated services model working collaboratively with CYPs services, health partners and communities to improve the health and wellbeing of children and families.</p>
<p>Safeguarding Arrangements</p> <p>Failure to have a robust approach to Safeguarding in place results in risk to vulnerable children and families and not protecting them from harm.</p>

This page is intentionally left blank



North Yorkshire County Council

Corporate and Partnerships Overview and Scrutiny Committee

19 April 2021

North Yorkshire Refugee Resettlement

1 Purpose

- 1.1 To provide an update and progress report on refugee resettlement in North Yorkshire.

2 Background

- 2.1 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)¹ and Vulnerable Children's Resettlement Scheme (VCRS)².
- 2.2 The VPRS and VCRS schemes were due to end in spring 2020 when the agreed national commitment under those schemes had been expected to have been reached. These schemes were due to be replaced by the UK Resettlement Scheme (UKRS)³, which planned to resettle 5,000 refugees in the first year. North Yorkshire district councils and the county council responded to the government's call to participate in the UKRS by agreeing to resettle 200 refugees between 2020 and 2024 on a pro-rata population basis.
- 2.3 Resettlement had planned to commence in Hambleton and Richmondshire districts in July 2020 but was unable to proceed then or for the remainder of 2020 because of the national suspension of resettlement.
- 2.4 Resettlement has now recommenced and in February 2021, 24 persons (5 families) were resettled in North Yorkshire across Hambleton and Richmondshire districts. This was half the number of people that we had originally planned to resettle in 2020.

¹ In September 2015, as part of the Syrian Vulnerable Persons Relocation Scheme (VPRS), Prime Minister David Cameron announced that the UK would accept up to 20,000 Syrian refugees who had fled to neighbouring countries because of the current crisis and who were particularly vulnerable.

² In April 2016, the UK government announced that it would be resettling an additional 3,000 refugees under the Vulnerable Children's Resettlement Scheme (VCRS). The scheme was open to refugees regardless of their nationality but specifically children at risk and their families from the Middle East and North Africa region.

³ The UKRS consolidates the previous legacy schemes into one global scheme.

2.5 The Home Office has confirmed that the funding for arrivals in 2021/22 will be the same as in previous financial years for local authorities and CCGs.

3 The impact of the global covid-19 pandemic on refugee resettlement

3.1 A report by the World Health Organisation published in December 2020 found that the COVID-19 pandemic only served to exacerbate the already poor living and working conditions of refugees and migrants.⁴

3.2 A global temporary suspension of resettlement came into force between March and June 2020 because of the pandemic.

3.3 Immediately prior to the suspension, many countries had restricted entry into their territories and so travel arrangements for resettling refugees became very difficult. The UNHCR (UN Refugee Agency) and IOM (International Organization for Migration) also became concerned that international travel could increase refugees' exposure to the virus. As a result, IOM and UNHCR suspended resettlement departures for refugees. At the same time, the UNHCR and IOM appealed to countries to work in close coordination with them, to ensure that transfers could continue for the most critical emergency cases wherever possible.⁵

3.4 During the suspension, the conditions for refugees living in their countries of first asylum deteriorated further, particularly in Lebanon due to its political and economic turmoil⁶.

3.5 On 19 June 2020, the UNHCR and IOM issued a joint statement confirming that they were able to resume resettlement travel following the temporary suspension of all travel in March 2020.

3.6 In total only 15,425 refugees were resettled in the first nine months of 2020, compared to more than 50,000 in 2019.⁷

3.7 In the UK, resettlement stopped during the second and third quarters of 2020. Immediately prior to the suspension, the UK was just short of 232 persons from reaching its 20,000 VPRS commitment.

3.8 In November 2020, the UK government committed to restart resettlement but this was restricted to resettling the remaining 232 people required to complete the 20,000 VPRS target. The UK resettled eight persons in December 2020. The

⁴ <https://www.who.int/news-room/feature-stories/detail/migrants-and-refugees-say-covid-19-has-dramatically-worsened-their-lives>

⁵ <https://www.unhcr.org/uk/news/press/2020/3/5e7103034/iom-unhcr-announce-temporary-suspension-resettlement-travel-refugees.html>

⁶ <https://www.independent.co.uk/news/uk/home-news/refugees-coronavirus-uk-migrants-resettlement-covid-syria-lebanon-b806953.html>

[Lebanon | European Civil Protection and Humanitarian Aid Operations \(europa.eu\)](#)

⁷ <https://news.un.org/en/story/2020/11/1078052>

remaining 224 persons were resettled between January and March 2021, with Hambleton and Richmondshire districts resettling persons from that total.

- 3.9 The Home Office confirmed in January 2021 that agreement had been secured for the UK to continue with resettlement, once the UK's commitment under the VPRS had been met. That target was met in March 2021.
- 3.10 The Home Office have a backlog of in the region of 3000 persons scheduled for resettlement in 2020.

4 Preparations put in place to resettle new arrivals in North Yorkshire

- 4.1 Despite the challenges posed with the pandemic in the UK, our most recent resettlement of families in North Yorkshire has showed that there is a balance between the risk to their physical and mental health remaining in their countries of first asylum and the risks associated with covid-19. This is both in terms of travelling from their countries of first asylum (chiefly Lebanon, where some Covid-19 restrictions were tougher than in the UK at the time), and the risk of being infected in the UK.
- 4.2 Thorough preparations were put in place by the international, regional and local resettlement agencies in the weeks leading up to the five families arriving in February 2021, to ensure that their arrival in the UK, their subsequent 10 days quarantine period and the weeks to follow would be as safe and smooth as possible. The key organisations involved locally included the Refugee Council (integration provider), Hambleton District Council, Richmondshire District Council, North Yorkshire County Council, Broadacres, North Yorkshire Police, local GP practices, the DWP, North Yorkshire Public Health and the Healthy Child Service. Links were also made with the two local volunteer support groups.
- 4.3 Public Health England guidance was followed and additional arrangements were put in place. All adults and children aged 11 years and over had to provide a negative covid-19 test within 48 hours before they were allowed to board the plane to the UK and all family members quarantined after their arrival in accordance with government requirements. In addition to the requirement to quarantine for 10 days after arrival, some changes to the COVID-19 regulations came into force on 15 February 2021, which impacted upon a family who arrived on a later flight than the other four families. These changes included amongst other things taking a COVID-19 test on or before day 2 and on or after day 8 of the quarantine period.
- 4.4 Refugee Council staff accompanied the families in separate vehicles from the airport to their new homes. Although prior to their arrival in the UK, the families were briefed on the COVID-19 restrictions in the UK, we ensured that post-arrival the families were kept up to speed with the restrictions during and following their quarantine period.
- 4.5 On reflection, the quarantine period provided the families with much-needed breathing space to rest. However, we knew in advance that in the absence of a welcome reception and frequent face-to-face meetings, having a frequent and

reliable form of communication with the new arrivals would be very important to ensure that they felt less alone in those crucial first few days. To this end:

- We provided each family with a basic android mobile phone with pre-loaded data to last for the first month of their arrival so that all the resettlement agencies had a guaranteed way of communicating with families and so that the families had access to the internet and could use video conferencing tools such as Zoom and what's app.
- During the quarantine period, the Refugee Council and staff from North Yorkshire County Council were in frequent contact with the families by phone and using video-conferencing technology. The introductory 'meet and greet' sessions were followed up with welfare checks, using remote technology during and after the quarantine period. The respective housing providers in each district also arranged to be in contact with the families during that period.
- Existing refugee families living in the same town as the new arrivals made a hot meal for them on their first day in the UK. They also delivered extra shopping for the new families whilst they were quarantining and kept in contact by phone. Public health information was ramped up to existing families immediately prior to the new families arriving to make sure that all were aware about the need for social distancing and to remind them not to go into the new families' properties etc.
- The Refugee Council and North Yorkshire County Council provided detailed welcome packs – explaining who was who, what each agency did, interesting facts about the local area, basic words in English, learning resources and materials for the children, and information about the covid-19 restrictions in place at the time. The housing providers also provided information.
- Volunteers kindly donated clothes, children's books, toys, DVDs and televisions with an initial TV licence. Volunteer support groups arranged for a specific volunteer to support each of the new families.

4.6 Nearly all the school-aged children were in school within six days after their quarantine period. The exception was a child with special educational needs who required assessments to be undertaken first.

4.7 Prior to the families arriving in the UK, the EAL team in the County Council's Children and Young People's Service directorate:

- Worked proactively, liaising with schools, the Admissions Team the SEN Hub and supporting organisations agencies to plan for the arrival of the new children.
- Supported school staff to provide welcome videos that children and families could watch at home (COVID-19 restrictions meant that schools were not able to invite new pupils and parents to visit their schools before starting).
- Provided Continued Professional Development (CPD) sessions for school staff to prepare for the new arrivals (a programme of ongoing CPD according to teachers' needs will also take place).

4.8 Post-arrival the EAL service:

- Carried out assessments of the children's current English language skills.
- Supported the families and schools with the necessary documentation regarding school induction.

4.9 The English language classes for the adults will start in full from the week commencing 12 April using Zoom until the classes are safe to go back to face-to-face.

5 General support provided to all families during the covid pandemic

5.1 Despite the pandemic and subsequent lockdowns that followed most families have continued to progress well. The following key areas of support have been provided to the families:

Refugee Council:

5.2 With the onset of the pandemic and throughout most of 2020, a hold was put on face-to-face appointments including drop-ins and home visits, apart from emergencies. Caseworkers had to adapt to a new way of providing support to families online and through phone support. WhatsApp groups for families in each North Yorkshire district were set up and Zoom drop-in meetings were arranged on a fortnightly basis.

5.3 Attendance at the virtual drop-ins has been patchy in some districts and has usually only involved the men attending. However, the use of virtual technology has allowed briefing sessions to be held across more than one district. Two key briefing sessions that the Refugee Council organised recently related to the Census 2021, in partnership with the Office for National Statistics, and an information briefing on the covid-19 vaccination programme. Women and youth groups took place virtually and this enabled women and young people across the county to come together to meet and support each other remotely.

5.4 There are plans to recommence some face-to-face drop-in sessions in summer 2021 by having staggered appointments for each family. Priority areas will be districts that have recently resettled families in the UK.

5.5 Casework support is intensive for the new arrivals. For all other families resettled in North Yorkshire because they have been in the UK for longer than three years, they are increasingly being encouraged to do more things for themselves including making direct contact with various agencies. This is helping to build up their independence. We are seeing the benefits to existing families when new families arrive in their town because it highlights to the former how far they have progressed since arriving in the UK.

5.6 July 2021 will mark the fifth anniversary of the first Syrian refugee arrivals in North Yorkshire. A qualified adviser employed by the Refugee Council is helping those families to complete the application form for Indefinite Leave to Remain (ILR) in the

UK. This is an in-depth and detailed application form. Indefinite Leave to Remain is currently not an automatic right for those refugees that we have resettled to date. Instead, the Home Office will review each case before making a decision as to whether an individual has a right to permanent residency in the UK or not. The conditions in the refugee's home country will be taken into account amongst other factors.

- **North Yorkshire County Council:**

5.7 Public Health information:

Timely information translated into Arabic was sent out to all families from the start of the first lockdown in March 2020 and has continued to date about the COVID-19 restrictions and related key government messages. We followed this up at drop-in briefings to make sure that families had received and understood the messages and were observing the government's measures to stay safe at home. We also sent key public health related messages and videos by WhatsApp to each of the district WhatsApp groups for the refugee families. In the early days of the pandemic there was a marked absence of translated Arabic materials produced by the government and national public health agencies, so there was a gap that we needed to fill locally.

5.8 English Language Classes:

With the start of the first lockdown, the County Council's tailored ESOL⁸ provision moved online in March 2020 and currently remains online. Chromebooks were provided for the adults actively engaged in classes in April 2020. Consequently, provision managed to continue without interruption during the various lockdowns thanks to the teachers adapting their lessons for online purposes in a short space of time.

5.9 The majority of adult learners have successfully developed their skills in using their Chromebook to access the ESOL classes delivered via Zoom video. In the main, there has been relatively good attendance despite the fact that during the first lockdown most children were not in school. A small minority (seven adult learners) have failed to engage; however, these learners may well not have continued to engage in face-to-face delivery as they suffer from health issues (including with mental health).

5.10 Continuing the ESOL provision online enabled many learners to gain City and Guilds Centre Assessed Grades (CAG) for their ESOL exams in July 2020. This has been followed by Online Speaking and Listening exams December 2020 to March 2021.

5.11 EAL service - Children's and Young People's Service:

The pandemic placed many additional pressures on refugee children, their families and the schools and agencies supporting them, most significantly the prolonged closures of schools and settings. In addition, the lack of opportunities to meet and interact with English speakers have meant language development opportunities

⁸ English as a Second Language

have been reduced for all EAL pupils, and they will need significant support to make up for lost learning. Some pupils however have achieved special commendation awards during the past year and a pupil who arrived in North Yorkshire in 2016, with no English, has secured a university place to study Pharmacy from September 2021.

5.12 The EAL team has worked remotely through Whatsapp Groups and Zoom, over the past year, to support 148 children from 47 families in 54 schools and settings across the county to address these challenges by:

- Ensuring that families were provided with up-to-date information regarding school closures.
- Reinforcing government public health messages relating to the pandemic.
- Supporting liaison between schools and families regarding home learning and ICT access, Free School Meals vouchers, revised dropping-off and picking-up times and places, guidance regarding mask wearing on school premises, and advice regarding self-isolation.
- Helping and advising families with online applications for nursery places and school transitions, supporting families with EHCP applications and reviews and choosing GCSE options.
- Providing parents with advice and ideas to support home learning, including sending out practical activities.
- Offering pupils and parents with individualised support for home learning, and supporting Refugee Council volunteer tutors with training and advice, including relating to safeguarding, for supporting pupils with home-based learning.
- Providing opportunities for parents to seek advice relating to education by attending regular 'virtual drop-ins'.
- Attending a weekly 'Virtual Youth Group' for girls aged 10-16.

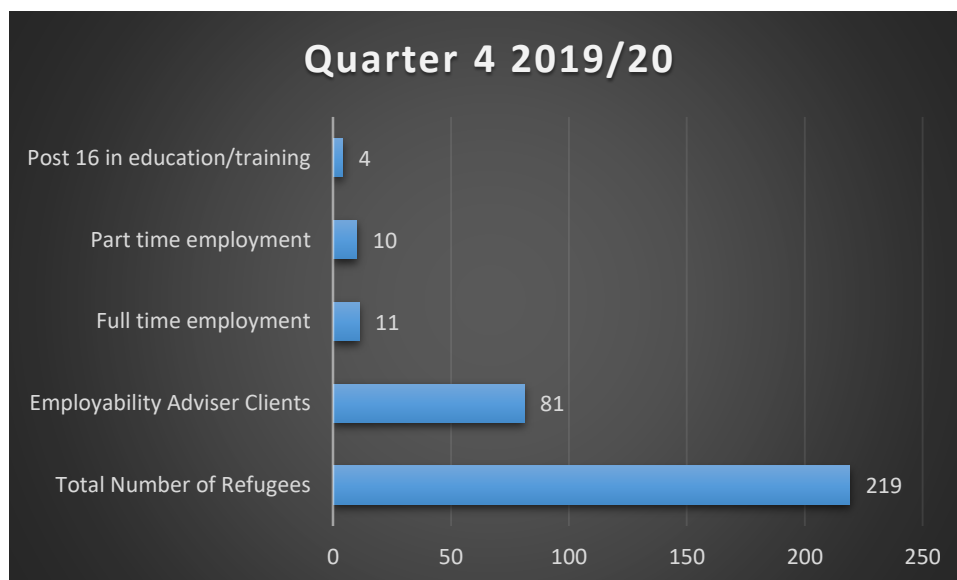
5.13 Over the last year, it has been increasingly clear that many families who are unfamiliar with the UK education system, continue to need support from the EAL Service after their first two years in the UK. Beyond the challenges of supporting the children to settle into schools and to learn English, help continues to be required with transitions between school stages, choosing GCSE options, addressing children's Special Educational Needs, and significantly, supporting effective and positive home school liaison. The value which the families place on the EAL team was highlighted in research carried out by a Masters student (February 2021), comparing educational support for refugee children in North Yorkshire, with that for refugee children in more metropolitan areas.

5.14 Employability Support:

The primary aim of the Refugee Employability Project, led by the County Council and funded from the Home Office grant, is to support working-age refugees into meaningful and sustainable employment and, through this, help them move towards

full integration and independence. This also involves the provision of relevant training to validate existing skills and to provide additional skills and training.

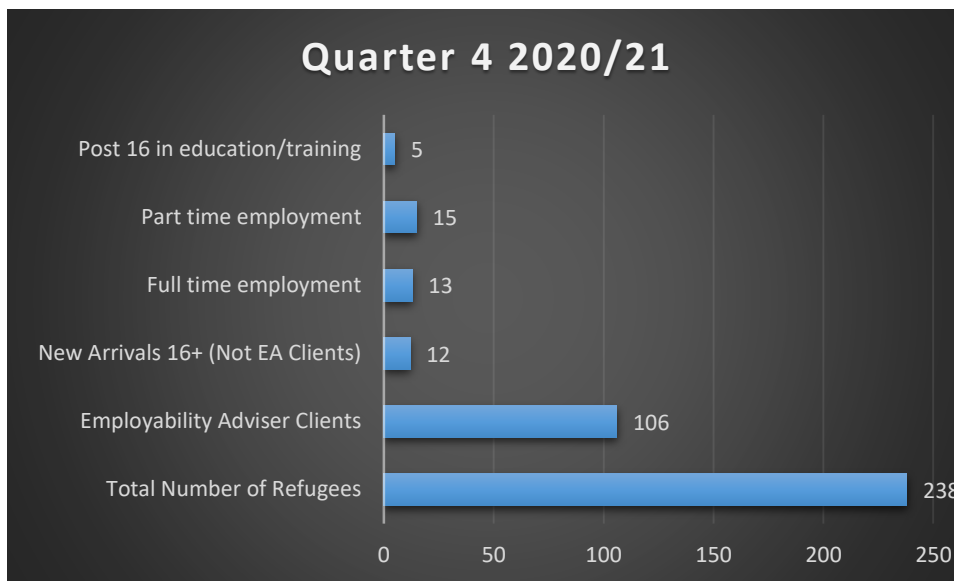
- 5.15 The past 12 months have been dominated by covid-19 restrictions. For comparative purposes, at the end of March 2020 (Q4 2019/20), and before the impact of the first lockdown was known, the key statistics relating to refugee clients were as illustrated in the table below:



- 5.16 In the 2020 calendar year, the situation continually changed depending upon the local or national lockdown restrictions. Jobs were lost, and gained, and all but a few volunteer roles were suspended. One of those still in operation is for a client, in Selby, who volunteers for Health Watch Yorkshire. He has helped provide valuable health related information to refugee families across the county.
- 5.17 A number of the adults in the county asked to volunteer to support their communities during the pandemic and so were put in touch with their local community support organisation. Typically, volunteering opportunities included delivering food and medicines to people who were shielding.⁹ Another volunteer put her seamstress skills to use by preparing scrubs and scrub bags for the NHS. As one volunteer said: "I feel it allows me to do something positive during this difficult time for us all, for the community which welcomed me and my family when we first arrived to the UK." For those refugees who took on volunteer roles there was a noticeable benefit from the added social contact and, for some, there has been a definite improvement in their spoken English and social skills. One of those volunteering went on to secure paid employment as a delivery driver for a food takeaway in his local town. All but two of the covid-19 volunteering positions ceased in late summer 2020 and, those that remain, continue to deliver medicines and food to vulnerable people in the community.

⁹ <https://www.northyorks.gov.uk/news/article/refugees-take-key-roles-community-response>

5.18 As at the 31 March 2021 (Q4 2020/21), and just as the third national lockdown was starting to ease, the updated situation was:



5.19 The current figure of 106, for Employability Adviser clients, includes refugees (16+ years) who are unpaid carers, volunteers and in post-16 education/training. Even though they are currently undertaking other activities, they are still supported by the Employability Adviser in terms of their work or education and possible future careers. The current figure of 106, active Employability Adviser clients does not include the latest arrivals (aged +16 years) who have not yet engaged with the Adviser.

5.20 Despite the challenging economic situation, over the 12 month period there has been a net increase of five part-time jobs and three full-time jobs. The new full-time jobs include an apprenticeship within the County Council. The full-time jobs also include three clients who have set up their own businesses and have continued to operate when allowed to do so in between the various lockdowns. There are currently three businesses operating in the county: two barbers shops and a food shop.

5.21 A number of the adults not yet in employment have done further training, chiefly online courses, such as Food Hygiene courses. Two clients have also undertaken the County Council's Adult Learning and Skills 'Starting your career in schools' online course, which has led to one of the clients securing a volunteer position at a local primary school. For those wishing to make use of their former skills in the construction industry, a series of training sessions are in the process of being arranged to help clients study for the Construction Skills Certification Scheme test. Two clients wanted to do a tiling course, one client was hoping to do a forklift truck course and another client was hoping to sit various tests to qualify to drive a Light Goods Vehicle. However, the training providers have remained closed for most of the last 12 months due to the pandemic but links will be re-established as soon as practicable with a view to commencing these courses.

- 5.22 The Employability Adviser has provided all working-age refugee clients with the opportunity to have Zoom and telecom calls with him, in the absence of face-to-face meetings. Zoom meetings are commonly used to discuss job applications and to provide training and general advice. Other support and advice provided to clients by the Employability Adviser has included:
- Small Business Rate Relief for business premises
 - Registration of new business premises
 - University and college applications
 - COVID-19 guidance and financial support
 - DBS applications
 - Completion of online Universal Credit applications
 - Preparation for interviews
 - HMRC queries and returns
 - Benefit related support
- 5.23 Face-to-face contact with employers was not been practicable during the past 12 months although several discussions have taken place relating to opportunities for work. When the current restrictions are lifted, greater emphasis will be devoted to building local employer contacts.
- 5.24 Looking ahead, with many thousands of additional unemployed in North Yorkshire and neighbouring areas, the competition for jobs will be intensified. In most instances, refugee clients will be competing against people with higher or more appropriate skill sets. To help combat this situation, the continuing focus will be to provide clients with additional relevant skills and to promote the continuation of volunteering and work experience opportunities that will help in this regard.
- 5.25 In order to better equip our refugee clients to secure employment, a series of employability modules, and supporting translated handouts, are available. These address topics such as:
- CV Writing (Updating)
 - Covering Letters
 - Job Search
 - Use of Social Media
 - Interview Techniques
 - Use of Universal Credit Accounts
 - Apprenticeships

- 5.26 Translated handouts relating to Interview Skills and CVs have already been used in several situations. With the initial success of individual Zoom meetings, the plan during the next quarter is to deliver small group sessions as required.
- **Volunteers**
- 5.27 Lockdown has resulted in a reduced number of volunteers being able to interact face-to-face with families on a regular basis. Contact has been maintained instead via phone and WhatsApp, although some socially-distanced face-to-face encounters have occurred in between the various lockdowns.
- 5.28 The pool of volunteers able to provide a car lift to appointments (e.g. hospital, dentist) dramatically reduced due to vulnerabilities in their own households and because of the nature of the covid-19 restrictions.
- 5.29 A number of volunteer support groups in the county are currently planning to widen their pool of volunteers as restrictions ease. This is in order to assign volunteers to new arrivals and because some existing volunteers are expected to step down.
- 5.30 Although we have seen a new dynamic of existing refugee families helping to support the new arrivals, the need for volunteers in the local community remains important. This is particularly so in relation to providing informal English in the home language learning and promoting wider community links such as putting families in contact with local clubs and societies and even potential employers. Some volunteer groups have also been leading on campaigning work and community cohesion initiatives, such as working with schools in their area to become Schools of Sanctuary¹⁰.
- 5.31 Separate to the local authority resettlement scheme, two volunteer support groups in Harrogate district are in the process of considering resettling an additional refugee family each in their local area through the Home Office's Community Sponsorship scheme. Since 2019, a volunteer support group in the county has been supporting a Syrian refugee family through the scheme.
- 5.32 Community Sponsorship groups are required to:
- Find and furnish an affordable home for a refugee family for a period of two years
 - Raise at least £9,000 (to cover various costs like translation, furnishing the house, and English classes)
 - Welcome the family at the airport and settle them in their new community (helping them register for benefits, access health services and enrol children in schools)
 - Provide support and encouragement to the family for one year so that they can live securely and independently.

¹⁰ A School of Sanctuary is a school committed to being a safe and welcoming place for all especially those seeking sanctuary.

6 Key Implications

Local Member: None.

Financial: There are no additional financial implications to North Yorkshire County Council arising directly from this report. The Home Office funds the refugee resettlement programme in North Yorkshire.

Human Resources: There are no additional human resources implications to North Yorkshire County Council arising directly from this report. North Yorkshire County Council employs staff on the refugee resettlement programme but they are funded through the Home Office grant.

Legal: There are no legal implications to North Yorkshire County Council arising directly from this report. The refugee resettlement scheme is a voluntary scheme. However, participating local authorities are required to meet specific obligations set out in the funding instruction to local authorities from the Home Office.

Equalities: None.

Environmental Impacts/Benefits including Climate Change Impact Assessment:
No Impact.

7 Recommendation:

- 7.1 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

8 April 2021

Appendices: None

Background documents: None

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

Corporate and Partnerships Overview and Scrutiny Committee 2021-2022 Draft Work Programme

Committee Meeting - 7 June 2021 @ 10:30am

Property Services	Bi-annual Performance Update – Jon Holden, Head of Property Services
Locality Budgets	Annual Update on delivery – Neil Irving, AD Policy, Partnerships & Communities
Community Libraries	Annual Update on Library Services – Chrys Mellor, General Manager Libraries
Community Safety	Bi-annual Update on Community Safety Plan Delivery & Partnership Working – Odette Robson, Head of Safer Communities
Customer Access	Update on the Operation of the Parish Portal and Parish Council engagement – Nigel Smith, Head of Highway Operations
Work Programme 2021/22	Consideration of work programme

Mid Cycle Briefing – 26 July 2021 @ 10:30am

Work Programme 2021/22	Consideration of work programme
------------------------	---------------------------------

Committee Meeting – 13 September 2021 @ 10:30am

Community Safety - PFCC	Update on the implementation of plans for collaboration between North Yorkshire Police and North Yorkshire Fire & Rescue Service from new Police, Fire & Crime Commissioner
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, Senior Strategy & Performance Officer
Stronger Communities	Bi-annual update on work of the Stronger Communities team and progress update on corporate volunteering project – Marie-Ann Jackson, Head of Stronger Communities
Community Safety – Youth Justice	Performance Update – Steve Walker, YJS Planning & Development Officer
Work Programme 2021/22	Consideration of work programme
Mid Cycle Briefing – 25 October 2021 @ 10:30am	
Work Programme 2021/22	Consideration of the work programme
Committee Meeting – 6 December 2021 @ 10:30am	
Community Safety	Bi-annual Update on Community Safety Plan Delivery & Partnership Working – Odette Robson, Head of Safer Communities
Investment Strategy	Update on NYCC's Investment Strategy & its Investments – Karen Iveson, AD Strategic Resources
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
Customer Access	Update on the Operation of the Customer Portal - Robert Ling, AD Technology & Change
NYCC Property Services	Bi-annual Performance Update – Jon Holden, Head of Property Services
Work Programme 2021/22	Consideration of the work programme
Mid Cycle Briefing – 17 January 2022 @ 10:30am	
Work Programme 2021/22	Consideration of the work programme for the remainder of the municipal year

Committee Meeting – 7 March 2022 @ 10:30am	
Corporate Volunteering Project	Update on corporate volunteering project – Marie-Ann Jackson, Head of Stronger Communities
Brierley Group Update	A Performance Update on the Brierley Group – Michael Leah, AD Strategic Resources
North Yorkshire Syrian Refugee Settlement Programme	Annual Programme Update – Jonathan Spencer, Refugee Resettlement Project Manager
Annual Workforce Plan	Review of Annual Plan – Justine Brooksbank, Assistant Chief Executive (Business Support)
Insurance	Two-yearly update on Insurance Claims, Risk Exposure & Management – Fiona Sowerby, Head of Insurance & Risk Management
Draft Work Programme 2022/23	Consideration of the draft work programme for the coming municipal year
Mid Cycle Briefing – 19 April 2022 @ 10:30am	

This page is intentionally left blank