



## Agenda

### Notice of a public meeting of **Audit Committee**

**To:** Councillors Cliff Lunn (Chairman), Alyson Baker, Philip Broadbank, Mark Crane, George Jabbour (Vice-Chair), Nigel Knapton, Stuart Parsons, Karin Sedgwick, Neil Swannick and Matt Walker, and Independent Co-opted Members (non-voting) Mr David Marsh and Mr David Portlock

**Date:** Monday, 24th October, 2022

**Time:** 1.30 pm

**Venue:** County Hall, Northallerton - West Block Basement Meeting Room (formerly "the Pink Room")

### Business

1. **Apologies for Absence**
2. **Minutes of the Committee Meeting held on 27 June 2022** (Pages 3 - 10)
3. **Declarations of Interest**
4. **Public Questions or Statements**

Members of the public may ask questions or make statements at this meeting if they have given notice (including the text of the question/statement) to Ruth Gladstone of Democratic Services (contact details at the foot of page 1) by midday on Wednesday 19 October 2022. 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 anyone who may be taking a recording to cease while you speak.

5. **Progress on Issues Raised by the Committee** (Pages 11 - 12)  
Joint report of the Corporate Director – Strategic Resources and the Assistant Chief Executive (Legal and Democratic Services)
6. **External Audit - Update on Progress of Audit**  
Oral report of representatives of Deloitte
7. **Progress on 2022/23 Internal Audit Plan** (Pages 13 - 20)  
Report of the Head of Internal Audit
8. **Annual Report of the Audit Committee** (Pages 21 - 30)  
Report of County Councillor Cliff Lunn, Chairman of the Audit Committee
9. **Annual Report on Partnership Governance 2021/22** (Pages 31 - 48)  
Report of the Assistant Director – Policy, Partnerships and Communities
10. **Business Continuity - Annual Report** (Pages 49 - 54)  
Report of the Head of Resilience and Emergencies
- 11.1 **Business and Environmental Services Directorate - Internal Audit Work** (Pages 55 - 58)  
Report of the Head of Internal Audit
- 11.2 **Business and Environmental Services Directorate - Internal Control Matters** (Pages 59 - 84)  
Report of the Corporate Director – Business and Environmental Services
12. **Audit Committee Programme of Work 2022/23** (Pages 85 - 86)
13. **Other business which the Chairman for the meeting agrees should be considered as a matter of urgency because of special circumstances**

Barry Khan  
Assistant Chief Executive  
(Legal and Democratic Services)

County Hall  
Northallerton

Friday, 14 October 2022

## North Yorkshire County Council

### Audit Committee

Minutes of the meeting held on Monday, 27th June, 2022 commencing at 1.30 pm at County Hall, Northallerton.

Committee Members present: County Councillor Cliff Lunn in the Chair; plus County Councillors Alyson Baker, Philip Broadbank, George Jabbour, Nigel Knapton, Andy Paraskos (as Substitute for Mark Crane), Stuart Parsons (as Substitute for Lindsay Burr MBE), Karin Sedgwick, Neil Swannick, and Matt Walker, and Mr David Marsh and Mr David Portlock

In attendance: County Councillor Carl Les

Officers present: Stuart Carlton, Howard Emmett, Gary Fielding, John Raine, Fiona Sowerby, Max Thomas and Ruth Gladstone

Other Attendees: Nick Rayner (Deloitte)

Apology: Mr Nick Grubb

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

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**1 Minutes of the informal remote meeting of the Committee held on 21 March 2022**

**Resolved –**

That the Minutes of the informal remote meeting held on 21 March 2022 be taken as read and be confirmed and signed by the Chairman as a correct record.

**2 Election of Vice-Chairman**

**Resolved –**

That, subject to the approval of full Council, County Councillor George Jabbour be elected Vice-Chairman of the Committee, to serve until the Council elections in 2027.

**3 Declarations of Interest**

There were no declarations of interest.

**4 Public Questions or Statements**

There were no questions or statements from members of the public.

**5 Progress on Issues Raised by the Committee**

Considered: The joint report of the Corporate Director – Strategic Resources and the Assistant Chief Executive (Legal and Democratic Services) which advised of progress made on issues which the Committee had raised at previous meetings, and other matters

that had arisen, relating to the work of the Committee, since the Committee's previous meeting.

Gary Fielding (Corporate Director – Strategic Resources), in introducing the report, suggested that, in preparation for this Committee being asked, in summer/autumn 2023, to sign-off the accounts of the County Council and of each of the seven district/borough councils, that informal, virtual briefings should be organised between Members of this Committee and the Chairman of each district/borough council's Audit Committee and that council's Monitor Officer. Members expressed support for that suggestion and commented that one briefing might be arranged to consider one district/borough council, followed by two further briefings for considering three district/borough councils at each. Gary Fielding undertook to consider whether the External Auditor of each district/borough council should also be invited to attend.

A Member questioned whether it was appropriate for the Leader of the County Council to be in attendance at Audit Committee meetings on the grounds that the Committee should be independent and the presence of the Leader might suggest otherwise. The Chairman and other Members made the following comments in response: the political whip was not applied in Audit Committee; the Committee's Chairman had invited the Leader to be present; and the Committee's meetings were open to members of the public. The Chairman asked for the situation to be considered further and, if necessary, be brought back to a future meeting.

**Resolved –**

- (a) That the report be noted.
- (b) That three virtual, informal briefings be arranged for the purpose described in the second paragraph of the preamble to this minute.
- (c) That the attendance of the Leader of the County Council at Audit Committee meetings be considered further and, if necessary, be brought back to a future meeting.

**6 Audit Committee Terms of Reference / Review of Effectiveness / Co-opted Members**

Considered: The report of the Corporate Director – Strategic Resources asking the Committee to consider whether any changes to the Committee's terms of reference were required to improve the Committee's effectiveness, and whether the term of appointment of the existing Independent Co-opted Members of the Committee should be extended.

Gary Fielding (Corporate Director – Strategic Resources) undertook to circulate to Members the training programme for audit committee chairs and members, to be provided by the Department for Levelling Up, Housing and Communities and the LGA.

During Members' discussion regarding the Committee's effectiveness, Mr David Portlock and Mr David Marsh advised that they did not wish to have voting rights on the Committee because they were not democratically elected. However, they felt fully able to express their opinions during the Committee's meetings.

Note: Mr David Portlock and Mr David Marsh left the meeting whilst the Committee considered whether the term of appointment of the Committee's existing Independent Co-opted Members should be extended. (Mr Nick Grubb had submitted an apology for absence for this meeting.)

During discussion concerning the term of appointment of the Committee's Independent Co-opted Members, Gary Fielding highlighted that any extension would be dependent on

existing Co-opted Members confirming that they remained eligible for appointment eg they were not affiliated to any political party and remained resident in, or had some other connection with, North Yorkshire.

**Resolved –**

- (a) That no change be sought, at this time, to the Committee's terms of reference.
- (b) That, subject to the approval of full Council, the existing term of appointment of the three Independent Co-opted Members of the Committee be extended to 30 November 2023.

**7 Annual Report of the Head of Internal Audit**

Considered: The Annual Report of the Head of Internal Audit which provided a summary of the internal audit work performed during the year ended 31 March 2022 and expressed an opinion on the overall framework of governance, risk management and control in place within the County Council. It also advised of Veritau's conformance to professional standards and the conclusions arising from the Quality Assurance and Improvement Programme.

Max Thomas (Head of Internal Audit), in introducing the report, highlighted his recommendation that Information Security was a significant control issue and should be included in the 2021/22 Annual Governance Statement. Information Security continued to be a significant risk despite all actions taken previously. In response to a question, Max Thomas advised that the serious data breaches which had occurred would not prevent him from providing a Substantial Assurance opinion because the County Council was aware of the risk of Information Security.

In responding to Members' questions, Max Thomas advised that "no opinion" was different to "no assurance", and that "no opinion" was used for a variety of reasons, for example, when only one small area had been audited.

A Member highlighted the need for Information Governance policies to reflect home working by staff.

**Resolved –**

That the following be noted:-

- (a) the Substantial Assurance opinion of the Head of Internal Audit regarding the overall framework of governance, risk management and control operating within the County Council, as set out at Appendix 1 to the report;
- (b) the significant control issue which is recommended for inclusion in the 2021/22 Annual Governance Statement; and
- (c) the outcome of the quality assurance and improvement programme and the confirmation that the internal audit service conforms with the Public Sector Internal Audit Standards.

**8 Internal Audit Plan 2022/23**

Considered: The report of the Head of Internal Audit which sought approval of the internal audit programme of work for 2022/23, a copy of which was appended to the report.

During discussion, Max Thomas (Head of Internal Audit) advised that the reduction in audit days for the Health and Adult Services Directorate and the Children and Young Peoples' Services Directorate represented a change of focus in the work which internal audit was performing in connection with Local Government Review.

**Resolved –**

That the Internal Audit Plan for 2022/23 be approved.

**9 Draft Statement of Final Accounts 2021/22**

Considered: The report of the Corporate Director – Strategic Resources which invited the Committee to consider a draft Statement of Final Accounts (SOFA) for 2021/22 for the County Council in advance of the accounts being audited by Deloitte between July and November 2022 and being re-submitted to the Committee for formal approval at the meeting on 28 November 2022 after the external audit had been completed. The report also asked the Committee to consider setting up a Corporate Governance Working Group to provide further overview of the SOFA for 2021/22 and supporting documentation.

In response to Members' questions, Gary Fielding (Corporate Director – Strategic Resources) advised that he would wish to cover the County Council's Revenue and Capital Outturn for 2021/22 during the Committee's forthcoming Seminar concerning Local Government Review and the Medium Term Financial Strategy.

Mr David Portlock commended John Raine and his team for all the efforts they had made in preparing the draft Statement of Final Accounts and Annual Governance Statement in time for consideration at this meeting, especially in view of their involvement in Local Government Review.

**Resolved –**

- (a) That the draft Statement of Final Accounts for 2021/22, as appended to the report, be noted.
- (b) That a Working Group be created to support the Audit Committee in reviewing the County Council's Statement of Final Accounts for 2021/22 and associated governance documents and submit a report for consideration in advance of the Committee considering the Statement of Final Accounts at its meeting on 28 November 2022, and that County Councillors Cliff Lunn, Philip Broadbank, George Jabbour and Stuart Parsons, together with Mr David Portlock (non-voting), be appointed to the working group.

**10 Corporate Governance**

Considered: The report of the Corporate Director – Strategic Resources concerning progress and improvements regarding Corporate Governance related matters, governance arrangements and changes made due to the Coronavirus pandemic, and the governance arrangements for the transition programme for Local Government Reorganisation.

The report was presented by Fiona Sowerby (Head of Insurance and Risk Management).

**Resolved –**

That the following be noted:-

- (a) progress on Corporate Governance related matters;
- (b) the improvements that have been made, and that are to be made, in Corporate Governance;
- (c) the governance arrangements and changes made due to the coronavirus pandemic; and
- (d) the governance arrangements for the transition programme for Local Government Reorganisation.

## **11 Counter Fraud Annual Report**

Considered: The report of the Head of Internal Audit concerning counter fraud developments, arrangements and work being undertaken, and inviting the Committee to approve the amended Whistleblowing Policy and the Counter Fraud and Corruption Policy.

During discussion, a Member highlighted that the Whistleblowing Policy made several references to meetings taking place and notes being made of such meetings. However, there were no references to enabling the whistle-blower to counter-sign those notes. Max Thomas undertook to take that comment on board, whilst advising that some whistleblowing complaints received were anonymous and, in some cases, employees wished only to report the issue to Veritau to take forward and did not wish to engage with the process.

### **Resolved –**

- (a) That the recent developments in the County Council's counter fraud arrangements, approach to local government reorganisation, and the work completed in 2021/22 to prevent, detect and investigate fraud, be noted.
- (b) That the amended Whistleblowing Policy and Counter Fraud and Corruption Policy be approved, subject to amendments being made, where appropriate, about enabling whistle-blowers to counter-sign notes of meetings.

## **12 Review of Assurance over Value for Money**

Considered: Report of the Corporate Director – Strategic Resources concerning the ongoing arrangements made within the County Council in respect of achieving Value for Money (VFM) and how overall assurance was obtained about the effectiveness of these arrangements.

Gary Fielding (Corporate Director – Strategic Resources) introduced the report and Nick Rayner (Deloitte) explained the role of External Audit in relation to VFM.

### **Resolved –**

- (a) That the arrangements currently in place for assuring Value for Money be noted.
- (b) That no areas be identified for further development in the assurance arrangements.
- (c) That it be noted that this Committee is satisfied that the report adequately contributes to the requirements of fulfilling the terms of reference noted in section 2.1.



### **13a Children and Young People's Services Directorate - Internal Audit Work**

Considered: The report of the Head of Internal Audit which advised of the internal audit work performed during the period 1 September 2021 to 31 May 2022 for the Children and Young People's Services Directorate.

In introducing the report, Max Thomas (Head of Internal Audit) advised that, based on the follow up work undertaken during the period, he was satisfied with the progress that had been made by management to implement previously agreed actions necessary to address identified control weaknesses.

Max Thomas undertook to specify, in future annual reports regarding the internal audit work performed for the Children and Young People's Services Directorate that such reports related only to local authority maintained schools.

Max Thomas confirmed that he could provide assurance to the Committee about the procedures in place within the Children and Young People's Directorate based on the audit work which Veritau had undertaken during the period and also taking into account the audit work performed within the Directorate in previous years.

#### **Resolved –**

That the results of internal audit work performed in the period for the Children and Young People's Services Directorate be noted.

### **13b Children and Young People's Services Directorate - Internal Control Matters**

Considered –

The report of the Corporate Director – Children and Young People's Services which outlined some of the key service risks and governance related issues within the Children and Young People's Directorate and provided details of the updated Risk Register for the Directorate.

Stuart Carlton (Corporate Director – Children and Young People's Services), accompanied by Howard Emmett (Assistant Director, Strategic Resources), introduced the report and responded to Members' questions.

#### **Resolved –**

That the key service risk and governance issues/developments within the Children and Young People's Services Directorate, and the updated Risk Register for the Directorate, be noted.

### **14 Programme of Work**

Considered: The Committee's programme of work which identified items of business scheduled for consideration at each of the Committee's forthcoming meetings.

Regarding the three topics previously identified for Audit Committee Seminars, Members highlighted the need to prioritise the topic of Governance of External Companies (including NY Highways) and Commercial Investments.



In response to Members' questions, Nick Rayner advised that Deloitte would have staff in place from July 2022 to undertake the external audit of the County Council's Statement of Final Accounts 2021/22. However, he was unable to guarantee that the external audit would be completed by the time of the Audit Committee's meeting on 19 September 2022. Gary Fielding advised that, nevertheless, he wished to continue to plan for the Statement of Final Accounts for 2021/22 to be considered at the Committee's meeting on 19 September 2022 because he needed Finance Staff to be engaged in Local Government Review after that date.

**Resolved –**

That the Committee's Programme of Work be approved, subject to the following:-

- (a) a Seminar concerning LGR Update/MTFS and Governance Issues being held on a date when a meeting of Audit Committee is not taking place.
- (b) the Audit Committee Seminar on 19 September 2022 include the topics of the Governance of External Companies (including NY Highways) and Commercial Investments and that a review of Finance/Contract/Property Procedure Rules be not submitted to the Committee's meeting on 19 September 2022.

The meeting concluded at 4.00 pm.

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## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

24 October 2022

#### PROGRESS ON ISSUES RAISED BY THE COMMITTEE

**Joint Report of the Corporate Director – Strategic Resources  
and the Assistant Chief Executive (Legal and Democratic Services)**

<b>1.0</b>	<b>PURPOSE OF THE REPORT</b>
1.1	To advise Members of <ul style="list-style-type: none"> <li>(i) progress on issues which the Committee has raised at previous meetings</li> <li>(ii) other matters that have arisen since the last meeting and that relate to the work of the Committee</li> </ul>

#### **2.0 BACKGROUND**

2.1 This report is submitted to each meeting listing the Committee’s previous Resolutions and / or when it requested further information be submitted to future meetings. The table below represents the list of issues which were identified at previous Audit Committee meetings and which have not yet been resolved. The table also indicates where the issues are regarded as completed and will therefore not be carried forward to this agenda item at the next Audit Committee meeting.

Date	Minute number and subject	Audit Committee Resolution	Comment	Complete?
27.06.22	Progress on Issues Raised by the Committee	That three virtual, informal briefings be arranged	These meetings have now been arranged	Yes
27.06.22	Progress on Issues Raised by the Committee	That the attendance of the Leader of the County Council at Audit Committee meetings be considered further and if necessary, be brought back to a future meeting.	It has been confirmed that the Audit Committee is a public meeting and all can attend. The Leader of the Council has been made aware of the issue raised.	Yes
27.06.22	Draft Statement of Final Accounts 2021/22	That a Working Group be created to support the Audit Committee in reviewing the County Council’s SoFA for 2021/22 and associated governance documents and submit a report for consideration in advance of the Committee considering the SoFA at its meeting on 28 November 2022 and that	Group created and work has commenced. Group to report back to Audit Committee in November 2022.	No

Date	Minute number and subject	Audit Committee Resolution	Comment	Complete?
		Cllrs Lunn, Broadbank, Jabbour and Parsons, together with Mr David Portlock be appointed to the working group.		
27.06.22	Programme of Work	A Seminar concerning LGR Update / MTFS and Governance Issues being held on a date when a meeting of Audit Committee is not taking place	This Seminar was held on 15 August	Yes

### 3.0 TREASURY MANAGEMENT

3.1 The Bank of England have continued to increase interest rates as a result of current market conditions, with rates increased to 1.75% in August and then to 2.25% in September.

Following these interest rate rises, the County Council's Treasury Advisors, Link, revised their own Interest Rate forecasts again on 27 September 2022. It is now forecast that further increases will be made throughout the rest of the financial year, rising to 5% in March 2023 as the Bank of England focus on combating inflation.

### 4.0 RECOMMENDATION

4.1 That the Committee considers whether any further follow-up action is required on any of the matters referred to in this report.

GARY FIELDING  
Corporate Director – Strategic Resources

BARRY KHAN  
Assistant Chief Executive  
(Legal and Democratic Services)

County Hall  
NORTHALLERTON

24 October 2022

**Background Documents:** Report to, and Minutes of, Audit Committee meetings held on 27 June 2022

## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

24 OCTOBER 2022

#### PROGRESS ON 2022/23 INTERNAL AUDIT PLAN

##### Report of the Head of Internal Audit

#### 1.0 PURPOSE OF THE REPORT

- 1.1 To inform Members of the progress made to date in delivering the 2022/23 internal audit programme of work and the other related services delivered to the County Council by Veritau (information governance and counter fraud). The report also highlights any issues likely to impact on the programme of work throughout the remainder of the year.

#### 2.0 BACKGROUND

- 2.1 The internal audit programme for 2022/23 totalled 950 days (plus 1,226 days for other work including counter fraud and information governance). It is important that audit resources are used effectively and focus on those areas which add the most value. The programme of work is designed to be flexible so that as new risks are identified or priorities change it can be updated. This is particularly important this year as the County Council prepares for local government reorganisation (LGR) on 1 April 2023.
- 2.2 This report provides details of the work completed in 2022/23 to date, current work ongoing and the priorities for the remainder of the year.

#### 3.0 INTERNAL AUDIT PROGRAMME OF WORK (TO 30 SEPTEMBER 2022)

- 3.1 The work programme for 2022/23 represents a summary of the systems and areas we have identified to be the highest priority, based on our current assessment of risk. A primary focus of internal audit work in 2022/23 is linked to the LGR programme, and on those Council systems which are most directly and indirectly affected by the changes. Maintaining an effective control environment for existing key financial systems is also a key focus for officers and for our work.
- 3.2 Work is planned to ensure there is sufficient coverage of the framework of governance, risk management and internal control. We have defined the following as areas where assurance is required in order to provide an evidence based opinion:
- Strategic planning
  - Organisational governance
  - Financial governance
  - Risk management

- Information governance
- Performance management and data quality
- Procurement and contract management
- People management
- Asset management
- Programme and project management
- ICT governance

3.3 The requirement for providing assurance across all of these areas is taken into account when prioritising work. The programme of work has been subject to ongoing review and has been adjusted in response to changes in the County Council's activities, risks, operations, systems and controls. During the year, planned work has been prioritised on the basis of:

- Do first – work of the highest value, priority, or urgency
- Do next – work to be started after current audit work is completed
- Do later – work scheduled for consideration later in the year (or in the future)

3.4 Changes in the priority of work are agreed with council officers. Individual audit assignments can also move between the categories as required. For example, a project audit classed as “do now” because it represents an area of high importance to the County Council may move from “do now” to “do next” or “do later”, if the project slips or planned work cannot be undertaken until a specific point is reached. Towards the end of the year, audits classed as “do later” are likely to be deferred until the next year.

3.5 **Appendix 1** provides details of the internal audits completed or currently in progress. **Appendix 2** provides details of the work scheduled to be undertaken next. The majority of the audit work undertaken in the year to date has been related to LGR. This has included providing advice and support to the project workstreams. Some planned audit work has also been delayed or rescheduled to allow officers to focus on LGR activities. A programme of financial key controls testing has been developed in conjunction with the existing North Yorkshire district and borough councils. This programme of compliance testing is designed to ensure key financial controls continue to operate and remain effective through to vesting day.

### **Counter Fraud Work**

3.6 Veritau continues to investigate cases of suspected fraud or malpractice. Such assignments are carried out in response to issues raised by staff or members of the public via the whistleblower hotline, or as a result of management raising concerns. Since the start of the current financial year, 21 cases of suspected fraud or malpractice have been referred to Veritau for investigation, compared to 31 cases received in the corresponding period in 2021/22. For the current year, 4 of the cases relate to internal fraud, 8 relate to adult social care and 4 relate to external fraud, blue badge misuse, debt recovery, or abuse of the council's financial assistance scheme. A further 5 cases relate to applications for a school place. A number of these investigations are still ongoing.

3.7 In July, we promoted the Council's whistleblowing policy to all members of staff. Further campaigns to mark Cybersecurity Awareness Month, International Fraud

Awareness Week, and World Anti-Corruption Day are planned over the course of the remainder of the financial year.

- 3.8 We have reviewed and updated the existing counter fraud policy framework to ensure it is fit for purpose for the new council. The revised policies will be presented to the next meeting of this committee for approval. The Counter Fraud team has also developed a fraud eLearning course designed to raise awareness of the increased risks of fraud due to LGR. The eLearning course is being made available to staff in all of the North Yorkshire councils. The team is now starting to prepare a fraud risk assessment and a counter fraud strategy and action plan for the new North Yorkshire Council.
- 3.9 The National Fraud Initiative (NFI) is a large-scale data matching exercise that involves all councils and other public sector bodies in the UK. The work of the NFI is overseen by the Cabinet Office. The 2020/21 exercise has now concluded and there is ongoing work in preparation for the 2022/23 exercise. Data will be securely gathered from Council systems at the end of September, processed, and then securely sent to the NFI in October.

### **Information Governance**

- 3.10 Veritau's Information Governance Team (IGT) continues to handle a significant number of information requests received in accordance with the Freedom of Information Act 2000 (FOI) and Data Protection Act 2018 (DPA). The number of FOI requests received between 1 April 2022 and 30 September 2022 was 559 compared with 537 requests received during the corresponding period in 2021/22. The number of requests received in 2022/23 and answered within 20 working days is currently 91%. The IGT also coordinates the County Council's subject access requests (SARs) and has received 168 such requests between 1 April 2022 and 30 September 2022 compared to 134 requests received during the corresponding period in 2021/22.
- 3.11 Veritau acts as the County Council's Data Protection Officer and provides advice and support to the County Council on all aspect of data protection. The IGT also reviews compliance with the legislation and liaises with the regulator, the Information Commissioner's Office (ICO). Other work includes reviewing data protection impact assessments, preparing data sharing agreements, recording data security incidents and investigating serious data security incidents. Further details about the work completed in the year are included in the annual information governance report.

### **Follow Up of Agreed Audit Actions**

- 3.12 Veritau follows up all agreed actions on a regular basis, taking account of the timescales previously agreed with management for implementation. An escalation process is in place for when agreed actions are not implemented or where management fail to provide adequate information to enable an assessment to be made. At this stage in the year, there are no actions which have needed to be escalated. On the basis of the follow up work undertaken during the year to date, the Head of Internal Audit is satisfied with the progress that has been made by management to implement previously agreed actions necessary to address identified control weaknesses.



#### 4.0 **RECOMMENDATION**

Members are asked to note the progress made in delivering the 2022/23 Internal Audit programme of work and the other assurance related services provided by Veritau.

Report prepared and presented by Max Thomas, Head of Internal Audit

Max Thomas  
Head of Internal Audit  
Veritau Limited  
County Hall  
Northallerton

3 October 2022

**Background Documents:** Relevant audit reports kept by Veritau

**2022/23 INTERNAL AUDIT WORK PROGRAMME**

**FINAL AUDITS ISSUED**

<b>Audit / Activity</b>	<b>Month</b>	<b>Assurance Level</b>
Harrogate Day Services	June 2022	No opinion given
Visit to care providers – The Lodge, Scarborough	July 2022	Limited Assurance
Symology	July 2022	Limited Assurance
Learning disability and autism	July 2022	Limited assurance
Developing stronger families - June 2022 return	July 2022	No opinion given
Pension fund investments	July 2022	Substantial Assurance
Contain Outbreak Management Fund	July 2022	No opinion given
Pension fund expenditure	September 2022	Substantial Assurance
Pensions fund IT Security	September 2022	Substantial Assurance
Developing stronger families - September 2022 return	September 2022	No opinion given

**AUDITS IN PROGRESS**

<b>Audit / Activity</b>	<b>Status</b>
Hutton Rudby School	Draft Report
Cyber readiness	Draft Report
Ripley Beckwithshaw Kettlesing Federation	Draft Report
East Ayton School	Draft Report
Schools themed audit - lettings	Draft Report
Visit to learning disability care provider – Chopsticks, Northallerton	Draft Report
Expenses for Adoption Panel Members	Draft Report
Schools themed audit – schools financial value standard	Fieldwork completed
Declarations of interests	Fieldwork in progress
Governance of council owned companies	Fieldwork in progress

<b>Audit / Activity</b>	<b>Status</b>
Transitions – children to adult social care	Fieldwork in progress
Contract exemptions	Fieldwork in progress
Financial assessments	Planning
Visits to care providers	Planning
Highways' performance management	Planning
Highways' Ringway contract	Planning
Financial governance	Planning
Main accounting system	Planning
Feeder systems	Planning
Schools Themed Audits - Related Party Transactions	Planning
Schools Themed Audits - Schools ICT	Planning

## 2022/23 INTERNAL AUDIT WORK PROGRAMME – CURRENT PRIORITIES

Audit / Activity	Status		
	Ongoing	Do next	Do later
<b>Strategic, corporate &amp; cross cutting risks</b>			
Local Government Reorganisation (LGR) preparedness and other related activities	✓	✓	✓
Internal control, data quality and other consultative support	✓	✓	✓
Payroll		✓	
Organisational governance		✓	
Declarations of interests	✓		
Financial governance	✓		
Risk management		✓	
Performance management		✓	
People management		✓	
Project management		✓	
Partnerships		✓	
Business continuity and disaster recovery		✓	
Climate change	✓		
Health and safety			✓
Asset management		✓	
Governance of council owned companies	✓		
<b>Health and Adult Services (HAS)</b>			
Partnership working with the NHS and new health structures		✓	
S117 aftercare (Mental Health Act 1983) and Transferring of Care Programme			✓
Continuing Health Care (CHC)			✓
Court of Protection		✓	
Financial assessments		✓	
Liberty protection safeguards			✓
Public Health		✓	
Transitions – children to adult social care	✓		
Emergency duty team			✓
Visits to care providers	✓		
<b>Business and Environmental Services (BES)</b>			
Highways' performance management	✓		
Highways' Ringway contract	✓		
Allerton Waste Recovery Park		✓	
Fleet management	✓		✓
Devolution		✓	
<b>Central Services (CS)</b>			
Main accounting system	✓		
Feeder systems	✓		
Creditors		✓	

Audit / Activity	Status		
	Ongoing	Do next	Do later
Debtors		✓	
Expenses for Adoption Panel Members	✓		
<b>Children's and Young People Services (CYPS)</b>			
Maintained schools themed audit – Related Party Transactions	✓		
Maintained schools themed audit – Schools ICT	✓		
Early years			✓
High needs			✓
Special education needs and disability (SEND)			✓
Children's social care			✓
Locality boards			
Individual school audits	✓	✓	✓
Audit support and advice to schools	✓	✓	✓
<b>Computer Audit</b>			
ICT governance		✓	
Cyber Readiness	✓		
2 x Service systems reviews		✓	
<b>Procurement and Contract Audit</b>			
Strategic Procurement		✓	
Contract Exemptions	✓		
<b>North Yorkshire Pension Fund</b>			
Pension Fund Expenditure		✓	
Pension Fund Income		✓	
Pension Fund Investments		✓	
Attendance at Pension Fund Board	✓	✓	✓

## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

24 OCTOBER 2022

### ANNUAL REPORT OF THE AUDIT COMMITTEE

#### Report of the Chair of the Audit Committee

#### 1.0 PURPOSE OF THE REPORT

- 1.1 To enable Members to consider the draft annual report of the Audit Committee for the year ended 30 September 2022, prior to its submission to County Council.

#### 2.0 ANNUAL REPORT

- 2.1 The Chartered Institute of Public Finance and Accountancy (CIPFA) has issued guidance which recommends that audit committees should report annually on how they have discharged their responsibilities. A copy of the draft annual report of this Audit Committee is attached at **Appendix 1**. A copy of the Audit Committee's Terms of Reference is attached to the report as **Appendix A**, for information.

#### 3.0 RECOMMENDATIONS

- 3.1 It is recommended that Members:

- (i) note this report; and
- (ii) consider and approve the draft annual report of the Audit Committee prior to its submission to the County Council.

Cllr Cliff Lunn  
**CHAIRMAN OF THE AUDIT COMMITTEE**

#### **BACKGROUND DOCUMENTS**

Relevant public reports presented to the Audit Committee and minutes of the meetings of the Audit Committee

Report prepared by Max Thomas, Head of Internal Audit and presented by Cllr Clifford Lunn, Chair of the Audit Committee

County Hall  
Northallerton

3 October 2022

## PURPOSE OF THE REPORT

To provide Members of the County Council with details of the work carried out by the Audit Committee during the year ended 30 September 2022. The report also details how the Audit Committee has fulfilled its Terms of Reference during this period.

## BACKGROUND

The Audit Committee is responsible for overseeing the County Council's corporate governance, audit and risk management arrangements. The Committee is also responsible for approving the Statement of Accounts and the Annual Governance Statement. The Committee's specific powers and duties are set out in Schedule 1 of the Constitution under the Terms of Reference of the Audit Committee. A copy of the Terms of Reference is attached at **Appendix A** for information.

Audit Committees are a key component of corporate governance and provide an important source of assurance about the organisation's arrangements for managing risk, maintaining an effective control environment, and reporting on financial and other performance.

The Chartered Institute of Public Finance and Accountancy (CIPFA) has issued guidance to local authorities to help ensure that Audit Committees are operating effectively<sup>1</sup>. The guidance recommends that audit committees should report annually on how they have discharged their responsibilities.

## WORK UNDERTAKEN AND OPINION

The Audit Committee has met on 4 occasions during the year. This has enabled the Committee to monitor the adequacy and effectiveness of the County Council's risk management arrangements, control environment and associated counter fraud arrangements through regular reports from officers and the internal auditors, Veritau. The Committee has also received reports from the external auditors, Deloitte.

Following the local elections in May 2022, the membership of the Committee changed. Continuity was however maintained with a number of councillors remaining on the Committee. Two of the three independent co-opted members of the committee also agreed to continue in their role.

The Audit Committee is satisfied that the County Council has maintained an adequate and effective control framework throughout the period covered by this report. The Committee recognises that the County Council is currently going through a period of significant change caused by local government reorganisation (LGR) and this is creating new challenges and risks. The Committee has been provided with regular updates from officers and will continue to seek assurances about the management of risks through to vesting day.

The specific work undertaken by the Committee is set out below.

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<sup>1</sup> CIPFA – Audit Committees Practical Guidance for Local Authorities and Police, 2018



## The Committee:

### External Audit

- 1 Received regular progress reports and updates from the external auditors, Deloitte on the annual audit of the County Council and the North Yorkshire Pension Fund. It was noted that the completion of the 2020/21 audit was delayed due to staff illness and the need for additional testing. The Committee expressed its disappointment at the delay and noted the impact it would have on the Council's finance teams at a time when they were preparing for local government reorganisation (LGR);
- 2 Received and considered Deloitte's report on the 2020/21 audit. The Committee was pleased to note that the external auditors had not raised any significant issues and had issued unqualified audit opinions for both the County Council and the North Yorkshire Pension Fund. Deloitte had also concluded that the Council had appropriate arrangements in place to secure value for money. In accordance with new Code of Audit Practice the auditors had provided a narrative commentary rather than an overall opinion. Deloitte also expected to provide an unqualified opinion on the Whole of Government Accounts return although further government guidance was required before this work could be completed;
- 3 Considered the external audit plan prepared by Deloitte for the audit of the 2021/22 Statement of Final Accounts (SOFA) and the review of the County Council's arrangements for securing value for money;
- 4 Considered the options for appointing a new external auditor to the Council (including the North Yorkshire Pension Fund) for the five year period from 2023/24. The Committee agreed with the recommendation of officers to opt into the sector led procurement process arranged by Public Sector Audit Appointments Limited (PSAA), subject to Council approval. It was agreed that this approach would be less burdensome and would likely produce better outcomes for the Council;

### Internal Audit

- 5 Continued to oversee the internal audit arrangements for the County Council and North Yorkshire Pension Fund;
- 6 Received and considered the results of internal audit work performed in respect of each Directorate and across different thematic areas. Monitored the progress made by management during the period to address identified control weaknesses;
- 7 Approved the Internal Audit Plan for 2022/23. The plan ensures that limited internal audit resources are prioritised towards those systems and areas which are considered to be the most risky or which contribute most to the achievement of the County Council's corporate objectives. The Committee noted that the plan is flexible and will be kept under review to ensure it continues to reflect the changing risk environment and the County Council's priorities. This flexibility will be particularly important in 2022/23 due to LGR. A significant proportion of internal audit work will be focused on providing assurance to the programme, and on ensuring the County Council's control environment remains effective through to vesting day. Internal audit work is also being coordinated with the other North Yorkshire councils where appropriate;

- 8 Monitored the delivery of the annual Internal Audit work programme through regular update reports presented by the Head of Internal Audit. Reviewed changes to the work programme to reflect new or changed County Council priorities;
- 9 Received and considered the Annual Report of the Head of Internal Audit for 2021/22 which provided an overall opinion on the County Council's control environment. The Committee noted that the work of internal audit is primarily focused on those areas which represent the highest risk for the County Council. The Head of Internal Audit confirmed that the Council's framework of governance, risk management and control provided substantial assurance. In forming this opinion, the Head of Internal Audit had considered the progress made by management during the year to address identified control weaknesses. The Head of Internal Audit also highlighted information security as being an area which required continuing attention;
- 10 Considered the outcome of the internal audit quality assurance and improvement programme (QAIP). The Committee was pleased that internal audit practices continue to meet the required professional standards and therefore continued reliance could be placed on the arrangements operating within the County Council;
- 11 Counter Fraud
- 12 Received regular reports outlining the key fraud risks facing the public sector and local government. The Committee also received details of the plans which have been developed to address possible fraud risks arising from the LGR process. The Committee noted that LGR will also provide opportunities to combat fraud through the increased use of data matching;
- 13 Approved updated whistleblowing and counter fraud and corruption policies;
- 14 Considered the results of the annual fraud risk assessment and approved the County Council's updated Counter Fraud Strategy action plan. The Committee also noted the results of the fraud investigations conducted during 2021/22 which helped to deliver savings of £74k.

#### Financial Statements

- 15 Approved the 2020/21 Statement of Final Accounts (SOFA) for the County Council and the related letter of representation;
- 16 Received and considered the 2021/22 SOFA for the County Council prior to audit by Deloitte. The Committee has established a working group to review the SOFA and the associated governance documents. The working group will report back to the Audit Committee in advance of the SOFA being approved;

#### Risk Management

- 17 Continued to oversee the County Council's risk management arrangements and strategy;
- 18 Reviewed the progress made by the County Council to identify and address corporate risks. This included consideration of the updated Corporate Risk Register and the relevant mitigating actions. At the time of the report (in December 2021) officers highlighted two risks which had changed. The first related to workforce

pressures in adult social care which had increased significantly in the period. The same pressures were also a factor in failures in the wider care market. The second related to the LGR change programme;

- 19 Assessed the adequacy and effectiveness of each Directorate's risk management arrangements through consideration of the risks and mitigating actions identified in each Directorate Risk Register;

### Corporate Governance

- 20 Considered changes to the Local Code of Corporate Governance prior to approval;
- 21 Approved the Annual Governance Statement of the County Council for 2020/21 which formed part of the 2020/21 Statement of Final Accounts (SOFA);
- 22 Received details of the latest update to the Corporate Governance self-assessment checklist, the changes made to the County Council's governance arrangements during the year following the Covid-19 pandemic and the governance arrangements introduced to support the LGR programme;
- 23 Received a report outlining the work of the Procurement and Contract Management Service during the year. The report included details of the actions taken in response to the Covid-19 pandemic, including the ongoing procurement of personal protective equipment (PPE) and the arrangements in place to maintain stability and resilience in the Council's supply chain. The Committee noted that the Council had joined with the City of Bradford Metropolitan District Council, Calderdale Metropolitan Borough Council and Barnsley Council to invest in local business development through the Go4Growth Programme. The Programme includes support to help small and medium sized enterprises to bid for contracts in the public sector. The Procurement and Contract Management Service has continued to play a leading role in developing regional and national strategy within local government. The Service has also worked to build contract management capacity in the Council through training and the launch of a dedicated toolkit. Three contract management boards have also been created and it is expected that some existing contract management staff will move into the central team. The Committee noted that LGR will provide an opportunity to rationalise contracts, consolidate expenditure and deliver cost savings. The priority is therefore to establish a consolidated contracts register and to identify all the contracts which will be inherited by the new Council;
- 24 Considered the ongoing work of the Corporate Information Governance Group (CIGG) which is responsible for updating the corporate information policy framework, identifying new or emerging risks, sharing best practice, and monitoring compliance with corporate information governance standards. The Committee received details of the work being done to mitigate cyber security risks and to comply with the requirements of the UK General Data Protection Regulation (UK GDPR) and Data Protection Act 2018. The Committee was also informed of the work being undertaken to prepare for LGR. This includes reviewing the existing policies and processes for each of the North Yorkshire councils and adopting a standard framework. Support is also being provided to the LGR programme to ensure data protection risks are being identified and managed. The Committee also considered recent data security incidents and the move to MS Office 365. The Committee considers that information governance remains a key corporate risk;

- 25 Received a report outlining the County Council's current resilience and business continuity arrangements. The report provided details of the Business Continuity Policy and Plan. The report also outlined the work of the Resilience and Emergencies Team (RET) to raise awareness of risks and train staff within directorates to respond to incidents. Each directorate has a business continuity champion to oversee arrangements, take ownership of the process and to represent the directorate at meetings of the Corporate Risk Management Group (CRMG). During the pandemic, the County Council worked collaboratively with partners through the Local Resilience Forum (LRF) to ensure actions were coordinated and critical services were maintained. The lessons from this approach are being incorporated into future practice. The risk of cyber-attack has increased so this is now a focus for planning. Workshops are being organised to ensure relevant cyber security plans are updated and tested;

### Financial Management

- 26 Received a report detailing the results of a self-assessment of compliance with the Chartered Institute of Public Finance and Accountancy (CIPFA) Financial Management Code. The Code is intended to support good practice in financial management and to help local authorities demonstrate financial sustainability. The Code requires local authorities to assess compliance with the Financial Management Standards and to report this as part of the Annual Governance Statement. The Committee noted the results of the self-assessment and those areas which had been identified as requiring some improvement. It was noted that officers propose to use the LGR process as a way to address most of the required improvements as this will make best use of limited resources;
- 27 Received details of proposed changes to the Code of Practice on Local Authority Accounting and the likely impact of these changes on the Council's accounting policies. The Committee noted that CIPFA was consulting on a number of time limited changes to the Code of Practice to help alleviate delays to the publication of audited financial statements for local government. These included deferring the planned adoption of IFRS 16 (covering the accounting treatment of leases) and a pause in the completion of professional valuations of operational plant, property and equipment for up to two years. It was also noted that the 2021/22 Statement of Accounts would again require disclosure notes to explain the financial impact of the Covid-19 pandemic on the Council. The deadline for publishing the audited Statement of Accounts will be 30 November 2022;

### Other

- 28 Considered the County Council's arrangements for securing value for money. The report outlined the existing framework for planning, decision-making, managing resources and reporting outcomes in respect to service delivery. This includes the Council Plan, Medium Term Financial Strategy (MTFS), service planning arrangements, the quarterly performance reports and various qualitative measures;
- 29 Continued to scrutinise the County Council's treasury management arrangements. This included reviewing the updated Treasury Management Strategy for 2022/23. The Strategy includes details of treasury indicators covering the investment of surplus funds, the future investment and borrowing strategies, capital financing and expenditure plans and the associated prudential indicators, and a minimum revenue provision (MRP) policy;

- 30 Reviewed the progress which had been made by officers to address other issues raised at meetings of the Committee;
- 31 Agreed to extend the term of appointment for the existing independent co-opted members from 31 July 2022 to 30 November 2023, subject to approval. This extension was recommended due to the anticipated additional work caused by LGR and in recognition of the sector wide delays in the audit and approval of local government accounts;
- 32 Received briefings from officers on cyber and information security, LGR and the medium term financial statement (MTFS). The new members of the committee also received induction training;
- 33 During the year, the Committee continued to benefit from the attendance and participation of its three independent co-opted members, David Portlock, David Marsh and Nick Grubb. I would like to extend my thanks to them for their contribution to the work of the Committee and their diligence, enthusiasm and support during the period;
- 34 No changes are considered necessary to the Committee's Terms of Reference

Councillor Clifford Lunn  
Chairman of the Audit Committee

## AUDIT COMMITTEE

### TERMS OF REFERENCE

1. In respect of **Internal Audit**

- to approve the Internal Audit Charter, Annual Audit Plan and performance criteria for the Internal Audit Service.
- to review summary findings and the main issues arising from internal audit reports and seek assurance that management action has been taken where necessary.
- to review the effectiveness of the anti-fraud and corruption arrangements throughout the County Council.
- consider the annual report from the Head of Internal Audit.
- to obtain assurance that the work of internal audit conforms to the Public Sector Internal Audit Standards.

2. In respect of **External Audit**

- to ensure the independence of External Audit is maintained
- to review the annual audit plan and monitor its delivery

3. To review, and recommend to the Executive, changes to Contract, Finance and Property Procedure Rules.

4. In respect of **financial statements**

For both the County Council and the North Yorkshire Pension Fund

- to approve the respective annual Statements of Final Accounts
- to receive and review the Annual Audit Letters and associated documents issued by the External Auditor
- to review changes in accounting policy

5. In respect of **Corporate Governance**

- to assess the effectiveness of the County Council's Corporate Governance arrangements
- to review progress on the implementation of Corporate Governance arrangements throughout the County Council
- to approve Annual Governance Statements for both the County Council and the North Yorkshire Pension Fund
- to liaise, as necessary, with the Standards Committee on any matter(s) relating to the Codes of Conduct for both Members and Officers
- to work with the Standards Committee to promote good ethical standards within the County Council
- to review the arrangements in place for ensuring good governance in the County Council's key partnerships and owned companies

6. In respect of **Risk Management**

- to assess the effectiveness of the County Council's Risk Management arrangements.
- to review progress on the implementation of Risk Management throughout the County Council.

7. In respect of **Information Governance**

- to review all corporate policies and procedures in relation to Information Governance.
- to oversee the implementation of Information Governance policies and procedures throughout the County Council.

8. In respect of **Treasury Management**

- to be responsible for ensuring effective scrutiny of the County Council's Treasury Management strategy and policies as required by the CIPFA Treasury Management Code of Practice.
- To review these Treasury Management strategies, policies and arrangements and make appropriate recommendations to the Executive.

9. In respect of **Value for Money**

- to have oversight of the arrangements across the County Council in securing Value for Money.

10. To consider any other relevant matter referred to it by the County Council, Executive or any other Committee. In addition any matter of concern can be raised by this Committee to the full County Council, Executive or any other Member body.

11. To exercise all functions in relation to the making and changing of policy relating to such audit and counter-fraud matters which fall within the remit of the Committee (save as may be delegated otherwise).

12. To periodically review the effectiveness of the Audit Committee itself.

13. To meet not less than four times a year on normal business and review its Terms of Reference on an annual basis.



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## North Yorkshire County Council

### Audit Committee

24 October 2022

#### Annual Report on Partnership Governance 2021/22

##### Report of the Assistant Director Policy, Partnerships and Communities

### 1.0 Purpose of report

- 1.1 To report on the governance of partnerships involving the County Council during the financial year 2021/22.

### 2.0 Background

- 2.1 The aim of the annual report is to enable the Audit Committee to review the effectiveness of partnership governance arrangements.
- 2.2 The process of preparing the annual report also provides a regular opportunity for Management Board and Executive Members to ensure that partnerships and the resulting commitments are reviewed regularly and that the Council is only involved with those partnerships that add value to the work of the Council.
- 2.3 Approval is required in line with the Council's Constitution, Financial Procedure Rules and Partnership Governance Guidance before any commitment is made to a partnership arrangement involving the Council,
- 2.4 Partnerships are within the scope of the annual report if they are characterised by one or more of the following conditions:
- strategic, in the sense that they will have a significant impact on the direction of services provided at the level of Council or Directorate themes and priorities;
  - involve elected Members on the governing board;
  - involve a financial input from the Council of £50k a year or more;
  - involve the Council as accountable body for external grant funding to the partnership; or
  - have a high or medium overall risk ranking from the partnership governance risk assessment.
- 2.5 The annual report does not cover other arrangements such as outside organisations to which the Council appoints members, contracts with suppliers, companies in which the Council is the sole or majority shareholder, and joint committees with other local authorities.
- 2.6 The key principles for partnership working locally were agreed in 2010 by Local Government North Yorkshire and York (LGNYY):

- the minimum number and simplest of partnership structures, consistent with delivering the required outcomes and statutory requirements;
- a North Yorkshire and York approach to county / sub-regional partnership structures as far as possible, recognising that a degree of pragmatism will be required given the different local authority structures in North Yorkshire and York;
- local partnerships, including shared community engagement arrangements, at the most appropriate local level; and
- the use of task and finish groups to deal with particular issues, rather than standing thematic partnerships or sub-groups.

2.7 LGNYY also agreed that rationalisation of partnership structures is not about stopping partners working together - partnership working should be encouraged, but partnership structures should only exist where they add value and are efficient.

### **3.0 Partnerships in 2021/22**

3.1 Appendix 1 lists the partnerships that were within the scope of the annual report as at 31 March 2022. The number and nature of partnerships, and the County Council's representation at them, changes from time to time and the data within Appendix 1 reflects the position on 31 March 2022.

3.2 Appendix 1 also summarises information on the governance and reporting arrangements for each partnership as at 31 March 2022, together with their key achievements for 2021/22 and key issues and priorities for 2022/23.

3.3 The response to the Covid-19 pandemic was a partnership effort involving many formal and informal partnerships. The pandemic also had a substantial impact and caused operational challenges for many partnerships, who were unable to operate as previously. Swift changes to meet those challenges head-on and introduce new ways of working were implemented across many partnerships, including as on-line meetings and innovative thinking around digital services and social media. A small number of partnerships are in abeyance or inactive and will be reviewed over the next year. Recovery from the impacts of the pandemic will be a key feature of many partnerships' work programmes over the next few years.

3.4 The Secretary of State for Housing, Communities and Local Government announced on 21 July 2021 that Government had decided to progress with local government reorganisation in North Yorkshire on the basis of the proposal submitted by the County Council. The eight councils have been working together to ensure a smooth transition, initially on a voluntary basis and then on the statutory basis set out in [The North Yorkshire \(Structural Changes\) Order 2022](#) with effect from 18 March 2022. Local government reorganisation is anticipated to enable opportunities for the simplification of some partnerships.

3.5 Apart from Welcome to Yorkshire, no partnerships were identified as having a high overall risk rating or reported a governance failure during 2020/21.

- 3.6 Corporate Directors review on an ongoing basis the number of partnership arrangements that officers are involved in, their strategic importance and the impact if the partnership were to be dissolved.
- 3.7 In addition, Executive Members in conjunction with officers of each Directorate give regular consideration to the governance and monitoring arrangements of partnerships relevant to their portfolio.

#### **4.0 Arrangements in place to monitor partnerships**

- 4.1 The wide range of partnerships, and their differing roles, means a 'one size fits all' approach to reporting is neither practical nor appropriate. In this context, reporting arrangements cover:
- key issues, including service issues;
  - any specific issues relating to the management of the partnerships; and
  - routine reporting on financial or other performance, highlighting variances to budgets or performance plans.
- 4.2 All reporting arrangements need to be appropriate and commensurate to the role of the partnership and what it seeks to achieve. The term 'partnership' covers a wide range of different approaches. Many partnerships are a coming together of partners with separate budgets to jointly plan and align their organisations' activity. Some partnerships are a delivery mechanism for joint budgets and joint decisions, for which the Council or another organisation is the accountable body.
- 4.3 Data from partnership working is included in a range of more general updates, including those submitted to the Executive as part of the Quarterly Performance Monitoring reports. There are some examples of formalised reporting from particular partnerships to the Executive. More often however, the data from partnerships is not readily separated from the more general level of reporting and, in many cases, to do so would result in duplication.
- 4.4 It is essential to ensure that partnership arrangements reflect appropriately the significance of the issues arising in the partnership within the overall framework of the monitoring arrangements involving Members. There is a need to avoid the risk of providing an unnecessarily detailed analysis for relatively small partnership working areas.
- 4.5 The governance arrangements of all partnerships with a high or medium overall risk rating are reviewed by officers from Legal and Democratic Services to ensure that robust arrangements are in place to protect the interests of the partnership and, in particular, of the Council. A review is normally be undertaken within twelve months of a partnership being first rated as having a medium or high overall risk rating, and then repeated every three years for partnerships that continue to have a high overall risk rating and every five years for partnerships that continue to have a medium overall risk rating. The review considers the written governance documents of the partnership to check that they are fit for purpose. Partnerships with a low overall risk rating are not reviewed unless there are any exceptional reasons for doing so. If any concerns are identified, officers from Legal and Democratic Services liaise with the

lead officer for the partnership concerned to offer advice and support and ensure that appropriate corrective action is taken to rectify the concerns.

## **5.0 Partnerships in 2022/23 and beyond**

5.1 Local government reorganisation in North Yorkshire, changes in NHS structures nationwide and the proposal to create a combined authority for York and North Yorkshire are expected to have an impact the membership of many partnerships. This is likely to result in some partnerships reviewing their purpose, governance arrangements and ways of working over the next two to three years.

## **6.0 Financial implications**

6.1 There are no specific financial implications in this report. Unless there is explicit agreement to the contrary, which must be documented fully in the governance documents of the partnership, all partnerships are expected to follow the Financial, Contract and Property Procedure Rules agreed by the County Council.

## **7.0 Legal implication**

7.1 There are no specific legal implications in this report. Approval is required before any commitment is made to a partnership arrangement involving the Council, as specified in the Council's Constitution, Financial Procedure Rules and Partnership Governance Guidance.

## **8.0 Equality implications**

8.1 There are no specific equality implications in this report.

## **9.0 Climate change implications**

9.1 There are no specific climate change implications in this report.

## **10.0 Recommendations**

10.1 It is recommended that the Audit Committee:

- (a) Receives the annual report on partnership governance;
- (b) Notes the arrangements in place to ensure good governance of partnerships.

Neil Irving  
Assistant Director Policy, Partnerships and Communities  
Central Services  
County Hall, Northallerton  
2 September 2022

Authors - Neil Irving, Assistant Director Policy, Partnerships and Communities  
Sheila Horner, Strategy and Performance Officer

Presenter - Neil Irving, Assistant Director Policy, Partnerships and Communities

Appendix 1 - Partnerships that were within the scope of this report as at  
31 March 2022

Name of partnership	Lead NYCC Directorate	Partnership type: 1. Statutory in influencing policy 2. Instrumental in controlling £ and other resources 3. Instrumental in influencing policy 4. Liaison only	Purpose and role of partnership	Date of last governance review (and if recently, action taken as a result)	Key achievements 2021/22	Issues and priorities 2022/23	Have there been any governance failures in 2021/22? Yes / No If yes, outline	Membership and governance arrangements of partnership	Link to governance document / terms of reference if published on internet	Annual partnership expenditure and main sources of income	Accountable body	NYCC budget contribution (in addition to officer time)	Which NYCC elected member body does the partnership report to and how often?	NYCC elected member(s) directly involved in partnership and role they play	Any issues (eg decision making, accountability, transparency, key policy areas)? Yes / No If yes, outline	NYCC lead officer	NYCC finance contact	Risk factors H/M/L 1 Probability of governance failure 2 NYCC objectives 3 NYCC financial 4 NYCC services 5 NYCC reputation	Overall partnership risk rating H/M/L	Legal Services governance review of high and medium risk partnerships - date last undertaken, summary and any action needed as a result
Strategic sub-regional and regional partnerships																				
CS																				
Local Government North Yorkshire and York (LGNYY)	CS	2	To promote effective working between local authorities and to ensure wider local authority representation, collaboration and co operation on a sub-regional basis and effective sub-regional representation at regional and national levels.	2011	Discussions have primarily focused on a potential devolution deal with government and Covid (response and recovery).	Potential devolution deal with government and Covid recovery.	No	Leaders of local authorities and national park authorities. Written terms of reference. The Police and Crime Commissioner and East Riding of Yorkshire Council also attend meetings. NYCC provides the secretariat to the partnership.	<a href="http://www.nypartnerships.org.uk/">www.nypartnerships.org.uk/</a>	No budget; NYCC provides officer time for secretariat.	n/a	No budget.	No routine report to NYCC elected member body, any issues feeding in to County Council processes in the usual way.	Clr Carl Les - member	No	Richard Flinton	n/a	L M L L M	L	n/a
NYC Chief Executives Group	CS	2	To provide leadership and coordination across sub-regional partnership structures and public services generally and to advise LGNYY.	2011	Discussions have primarily focused on a potential devolution deal with government, the work of the LEP and Covid (response and recovery).	Potential devolution deal with government, the work of the LEP, recovery from Covid and other countywide strategy issues.	No	Chief executives of local authorities and key local public sector partners. Written terms of reference. East Riding of Yorkshire Council also attend meetings. NYCC provides the secretariat to the partnership.	<a href="http://www.nypartnerships.org.uk/ceg/">www.nypartnerships.org.uk/ceg/</a>	No budget; NYCC provides officer time for secretariat.	n/a	No budget	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Richard Flinton	n/a	L M L L M	L	n/a
North Yorkshire Local Resilience Forum (NYLRF)	CS	1	To ensure effective delivery of statutory duties under the Civil Contingencies Act 2004 that need to be developed in a multi-agency environment.	2012	Coordination of Covid-19 response. Multi-agency EU Transition monitoring. Comprehensive review of NYLRF governance, structure and 3 year Work Plan approved by NYLRF Executive Board.	3 Year Work Plan 2021 - 2024 aligned with National Security & Risk Assessment, National Resilience Standards and Resilience Capabilities Programme.	No	Multi-agency partnership to carry out statutory duties as defined by the Civil Contingencies Act. Written governance document. NYCC provides the secretariat to the partnership.		Secretariat £39k (partnership subscriptions). Government Grants for LRF development.	NYCC	£10k towards total cost of £39k for secretariat.	No formal reporting. Secretariat to brief NYCC Corporate & Partnerships Overview & Scrutiny Committee.	No	No	Neil Irving	Vicki Dixon	L M L L M H	M	August 2022. Clear evidence that the Partnership's terms of reference and risk register are being monitored and kept up to date. The governance arrangements continue to be satisfactory.
North Yorkshire Community Safety Partnership (NYCSP)	CS	1	To bring together the responsible authorities, supported by other relevant organisations, to fulfil their statutory responsibilities to work together under the Crime and Disorder Act 1998 (as amended).	2014	Review of partnership. Good use of comms for hate crime awareness week. Orcuma FIRST case management system/to develop and enhance the evidence of impact from the CS hubs. Management of domestic abuse interventions/Covid has impacted. DA tactical group established. Domestic Homicide Reviews submitted to Home Office Scrutiny. Hate crime project established. Community tensions framework developed.	Adapting / responding to strategies and changes that influence the work of the multi-agency Community Safety hubs. Embedding new partnership arrangements, inc effective performance reporting. Preparation for and implementing statutory duties from the Domestic Abuse Act, inc with housing & provider leads. DHR initiated and another DHR to scope. Ensure cross-learning from DHRs are effectively implemented and making a difference.	No	Senior officers of key local community safety partners (responsible authorities) and other relevant organisations. NYCC provides the secretariat to the partnership.	<a href="http://www.nypartnerships.org.uk/nycsp/">www.nypartnerships.org.uk/nycsp/</a>	No budget; NYCC provides officer time for secretariat.	n/a	No budget.	Corporate & Partnerships Overview and Scrutiny Committee in its role as statutory crime and disorder committee.	None	No	Neil Irving	n/a	L L L L M	L	n/a

York and North Yorkshire Prevent Strategic Board	CS	2	To provide leadership across the Prevent (counter-terrorism) agenda.	2014.	Continued implementation of Prevent duty across all partners. Channel Panel has continued to meet & support those vulnerable to extremism/quality assurance exercise completed & shared with HO. Assurance statement signed off NYCC CE. Ongoing implementation of Prevent Action Plan/designated safeguarding leads in education settings. Discussions started around partnership duties linked to CONTEST strategy.	All partners to feed into review of CONTEST arrangements whilst ensuring the Prevent arrangements and statutory duties are not lost and continue to be met. Ensuring any requirements from Protect and Prepare national reviews are effectively acted upon. Continued linkages between Prevent and safeguarding, hate crime and wider community tensions agendas.	No	Officers of key partners. City of York Council and NYCC provides officer time for secretariat.		No budget. City of York Council and NYCC provides officer time for secretariat.	n/a	No budget.	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	None	No	Neil Irving	n/a	L	L	L	M	M	L	n/a
Superfast North Yorkshire (SFNY)	CS	2, 3	To bring the advantages of superfast broadband to as many businesses and citizens in North Yorkshire with the resources available.	2016	Phase 4 Contract awarded to Quickline Communications for a further 15,830 premises. Take-up across Phases 1-3 now over 70%.	Delays in the supply chain for Phase 3 have resulted in a 6 month delay to the programme. This will mean SFNY managing 2 contracts for a full year which will be more resource intensive. Key priority is to close down Phase 3.	No	Members and officers of NYCC and NYnet.		Phase 1 £26.5m offset by BDUK/ERDF grants. Phase 2 £2m (£5m BDUK/ERDF, £3m NYCC). Phase 3 £20.5m (£7.32m BDUK, £12.15m RDPE/ERDF, £1.03m NYCC). Phase 4 £12.34m NYCC. Project managed by NYnet/NYnet 100.	NYCC for BDUK, ESIF and ERDF funding. NYnet is the 'managing agent' for NYCC.	Project costs are borne by NYnet 100. Phase 3 capital funding of £1.03m Phase 4 capital funding of £12.34m from NYCC approved.	Reports to SFNY Governance Board regularly. Reports to Executive when key decisions are required.	Clr Don Mackenzie and Clr Carl Les - Board Members. Clr David Huggill - Observer.	Delivering the best possible contract for the Phase 4 investment and considering the approach to the properties left below Superfast access.	Gary Fielding	Gary Fielding	L	M	H	M	H	M	August 2022. Procurement, contracts, grants & programme continue to be managed with Legal Services support. Regular reports to Council's Executive. Appropriate governance arrangements.
Yorkshire & Humber (Local Authorities) Employers' Association	CS	4	Member-led partnership of local authorities in Yorkshire and Humber - share information and intelligence and provide a stronger collective voice on national issues in the areas of employee relations and pay and terms and conditions.	Brief review undertaken in 2021 and changes agreed. At future annual meetings authorities have the opportunity to review the YHEA constitution.	Not applicable	Not applicable	No	All activity governed by individual and collective views of participating local authorities via the reps attending.		EO's core income from its membership's affiliation fees. Total expenditure is greater, but covered from external income.	EO is an independent body, established utilising the legal personality of an Employers' Association.	£7425 +VAT subscription.	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Cliff Lunn and Clr Carl Les - member of Regional Employers Committee	The 2 EO staff are part of West Yorkshire Pension Fund and if EO disbanded NYCC might be asked to contribute to any pension deficit.	Justine Brooksbank	Vicki Dixon	L	M	L	L	L	L	n/a
Boomers to Co-ops Pensions Rolling Company	CS	1, 3	To invest in pension fund assets on behalf of a range of individual Local Government Pension Funds	Subject to annual general meeting and shareholder approval of business plan.	No Update	No Update	No	Company with 11 partner funds as equal shareholders.	<a href="https://www.bordercoast.org.uk/corporate-governance/">https://www.bordercoast.org.uk/corporate-governance/</a>	<a href="https://www.bordercoast.org.uk/about/annual-report-and-accounts/">https://www.bordercoast.org.uk/about/annual-report-and-accounts/</a>	n/a	NYPF funding through membership fee and fees relating to assets under management.	Pension Fund Committee. Clr Patrick Mulligan as shareholder representative.	Pension Fund Committee.	Industry regulated by FCA so can impact upon reporting requirements.	Gary Fielding	Gary Fielding	L	M	M	L	M	L	n/a
<b>Local</b>																								
Craven Community Safety Hub	CS	2, 3	Bring together operational managers of responsible authorities and others to ensure the delivery of the NYCSP Plan in the district; protect communities from crime and disorder and help people feel safer; deal with local community safety issues; assess local crime and disorder priorities and consult partners and the local community about how to deal with them.	2014	No Update	To be agreed.	No.	Senior reps (members and officers) of key local community safety partners. Written governance document.		Craven District Council covers incidental costs and partnership support. Other income may include funding from PFCC to be spent on projects.	Craven District Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Andy Solloway - member	No	Odette Robson	n/a	L	L	L	L	M	L	n/a

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Hambleton Community Safety Hub	CS	2, 3	Bring together operational managers of responsible authorities and others to ensure the delivery of the NYCCSP Plan in the district; protect communities from crime and disorder and help people feel safer; deal with local community safety issues; assess local crime and disorder priorities and consult partners and the local community about how to deal with them.	2014	No Update	To be agreed.	No	Senior reps (members and officers) of key local community safety partners. Written governance document.		Hambleton District Council covers incidental costs and partnership support. Other income may include funding from PFCC to be spent on projects.	Hambleton District Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Heather Moorhouse - member	No	Odette Robson	n/a	L	L	L	L	M	L	n/a
Harrogate District Public Services Leadership Board (PSLB)	CS	2, 3	To lead and support the design and delivery of quality services that are efficient, innovative and reflect the specific needs and priorities of our local communities; ensuring better outcomes and improving the lives of local people.	Oct 2019	The PSLB didn't meet during 2020/21 because partners' efforts were focused on Covid response coordinated through the LRF.	Better homes and support for living (Harrogate district; a place where housing is affordable, of an acceptable quality and accessible). Inclusivity (Harrogate district; a place that is inclusive, progressive and has active, engaged and friendly communities). Health inequalities (Harrogate district; a place where everyone has an equal opportunity to access health and wellbeing services). Digital (Harrogate district; a place that advances by using new technologies).	No	Officers of local agencies. Written governance document.	<a href="http://www.harrogate.gov.uk/info/20124/partnership_working/319/partnerships">www.harrogate.gov.uk/info/20124/partnership_working/319/partnerships</a>	Harrogate Borough Council covers incidental costs and partnership support.	Harrogate Borough Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	None	No	Neil Irving	n/a	L	L	L	L	M	L	n/a
Richmondshire Community Safety Hub	CS	2, 3	Bring together operational managers of responsible authorities and others to ensure the delivery of the NYCCSP Plan in the district; protect communities from crime and disorder and help people feel safer; deal with local community safety issues; assess local crime and disorder priorities and consult partners and the local community about how to deal with them.	2014	No Update	To be agreed.	No	Senior reps (members and officers) of key local community safety partners. Written governance document.		Richmondshire District Council covers incidental costs and partnership support. Other income may include funding from PFCC to be spent on projects.	Richmondshire District Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Carl Les - member	No	Odette Robson	n/a	L	L	L	L	M	L	n/a
Ryedale Community Safety Hub	CS	2, 3	Bring together operational managers of responsible authorities and others to ensure the delivery of the NYCCSP Plan in the district; protect communities from crime and disorder and help people feel safer; deal with local community safety issues; assess local crime and disorder priorities and consult partners and the local community about how to deal with them.	2014	Ryedale DC worked with NYP to take forward colocation of Neighbourhood Police team into Ryedale House in Feb 2021 as part of newly established community safety hub. This has enabled better use of case management system linking early and effective intervention and prevention work.	To be agreed.	No	Senior reps (members and officers) of key local partners. Written governance document.		Ryedale District Council covers incidental costs and partnership support. Other income may include funding from PFCC to be spent on projects.	Ryedale District Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Val Arnold - member	No	Odette Robson	n/a	L	L	L	L	M	L	n/a
Scarborough District Local Public Service Executive (PSE) (includes Community Safety Hub)	CS	2, 3	Identify opportunities to reduce costs of service delivery by removing waste and duplication; sharing overheads and support services and rationalising estate and assets. Identify key emerging issues for the Borough and negotiate changes to services and service delivery models which might better deliver outcomes for people.	2015	The PSE didn't meet during 2020/21 because partners' efforts were focused on Covid response coordinated through the LRF.	To be agreed.	No	Senior reps (officers) of key local public sector partners. Written terms of reference. Chaired by SBC Cabinet Member.		Scarborough Borough Council covers incidental costs and partnership support.	Scarborough Borough Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	None	No	Neil Irving	n/a	L	L	L	L	M	L	n/a

Selby Community Safety Hub	CS	2, 3	Bring together operational managers of responsible authorities and others to ensure the delivery of the NYCCSP Plan in the district; protect communities from crime and disorder and help people feel safer; deal with local community safety issues; assess local crime and disorder priorities and consult partners and the local community about how to deal with them.	2014	No Update	To be agreed.	No	Senior reps (members and officers) of key local community safety partners. Written governance document.		Selby District Council covers incidental costs and partnership support. Other income may include funding from PFCC to be spent on projects.	Selby District Council	None	No routine report to NYCC elected member body, any issues arising feeding into County Council processes in the usual way.	Clr Stephanie Duckett - member	No	Odetta Robson	n/a	L	L	L	M	L	n/a	
BES																								
LGNY Spatial Planning and Transport Board	BES	2	To provide strategic advice, direction and leadership on spatial planning and transport matters. Enable implementation of the Duty to Cooperate in plan making at a political level.	Dec 2017 - review of purpose undertaken by YNYERH Directors of Development. Agreed to reinstate the Board after a period of dormancy.	Not met this year.	To be agreed.	No	One Clr from each local authority. Written terms of reference to be reviewed and updated. Secretariat function provided by City of York Council.		No budget. Secretariat provided by City of York Council.	n/a	No budget.	No routine report to NYCC elected member body, but regular report to LGNY, with any issues arising feeding in to County Council processes in the usual way.	Clr Derek Bastiman - member	No	Karl Battersby / Liz Small	n/a	L	L	L	L	L	n/a	
York, North Yorkshire & East Riding Strategic Housing Partnership (previously known as LGNY Housing Board)	BES / HAS	2, 3	Identifying and responding to key housing issues; agreeing and managing the delivery of strategic housing investment priorities; undertaking sub regional research; and encouraging both innovative and consistent sub regional working across North Yorkshire.	2016	Review of York, North Yorkshire and East Riding Housing Strategy 2015 - 2021 Commissioning and engagement in Housing Design Guide Analysis of House building trends especially relating to Covid.	Publication of Housing Strategy and Housing Design Guide, monitoring of housing trends including build out rates.	No	One Clr from local authority and reps of key partners. Written terms of reference.	<a href="http://www.nycc.gov.uk">www.nycc.gov.uk</a>	Circa £50,000 pa. Partnership posts funded by LAS. Officer part seconded to LEP.	Hambleton District Council.	Officer time only	No routine report to NYCC elected member body but regular report to LGNY, with any issues arising feeding in to County Council processes in the usual way.	Clr Derek Bastiman - member	No	Liz Small (BES) / Dale Owens (HAS)	Vicki Dixon	L	M	L	M	L	n/a	
York, North Yorkshire & East Riding Local Enterprise Partnership	BES	2	The primary role of the LEP is provide strategic leadership to maximise the economic growth and job creation across York, North Yorkshire & East Riding. It is a public private partnership and its remit covers Business Growth, Skills and Infrastructure.	January 2022. LEPs are subject to annual government review and S151 Officer to sign off assurance as required by MHCLG's National LEP Assurance Framework.	£15.4m Get Building Fund delivered. Business Support Growth Hub achieved 11,730 low intensity business supports, 885 medium intensity supports, and 215 high intensity supports. Plan for Growth Developed Routemap to Carbon Negative Developed. £760k Community Renewal Fund Secured.	Following the Levelling Up White Paper LEPs will be integrated within Mayoral Combined Authorities where they exist. A plan will be developed. The priorities are: 1. Supporting devolution 2. Delivering contracted programmes 3. Finalising Plan for Growth 4. Finalising Routemap to Carbon Negative	No	Main LEP Board must be 2/3 Private sector. It includes 5 LA Leaders & 11 Private sector  In addition there are three sub-boards 1. Infrastructure (All LA's represented) 2. Employability & Skills 3. Business Growth	<a href="http://www.nylep.com/news/publications/">www.nylep.com/news/publications/</a>	NYCC £204k. City of York £40.5k. East Riding £60.75k, 7 x Districts £20.25k. BIS Funding £500k. Investment Funds ink Local Growth Fund £145k, Growing Places Fund (£9.4m) (to be used as a revolving fund). £246k pa Growth Hub.	NYCC	The Council's Economic & Partnership Unit has a NYCC budget of £204k and staff in the unit provide support to the LEP.	Annual reports to Transport, Economy and Environment Overview and Scrutiny Committee.	Clr Carl Les - member	No	James Farrar	Vicki Dixon	L	M	L	L	H	M	July 2018. Vertau audit completed - High Assurance. Written constitution. Revised assurance framework signed off by LEP Board and NYCC S151 Officer annually in February.
Leeds City Region (LCR) Local Enterprise Partnership	BES	2	To direct LCR policy in relation to economic development, transport, skills and infrastructure. On-going engagement continues, with the NYCC Leader maintaining a position on the LCR LEP Board. Primarily focused on transport and infrastructure. Potential risk through City Deal and plans for pooling of monies.	Unknown. LEPs are subject to an annual government review and S151 Officer signing off its Assurance Framework.	Management and delivery of Leeds City region Growth Fund programme. Completion of Devolution deal with Government	revisions to the LEPs regarding overlaps means that NY districts previously part of LCR LEP have to disengage from programmes and projects over time.	no	Business led partnership (business reps and local authority reps, including NYCC rep). Written governance document.	<a href="http://www.the-lep.com/about/governance-and-funding">www.the-lep.com/about/governance-and-funding</a>	Circa £36m Growing Places Fund. Circa £1.4b City Deal (TBC). Circa £500m Infrastructure Fund (TBC).	Leeds City Council	Officer time only	No routine report to NYCC elected member body, although any issues requiring decisions or reports will be fed in through normal processes.	Clr Carl Les - member	Need to monitor impact of West Yorkshire Combined Authority.	Karl Battersby	n/a	L	M	L	L	L	n/a	

Local Access Forum	BES	1	The County Council is required to set up and convene a LAF by Statute (CRoW Act 2000).	7 members on the forum, 4 vacancies, 2 Cllrs remain unchanged.	Consulted on the CAS Definitive Map prioritisation model. Reviewed CAS related webpages on Council website. Reviewed Natural England's new Land Management Scheme.	Strategic response to inception of the Coast 2 Coast as a National Trail.	No	LAF purpose set out in statute.	<a href="http://www.gov.uk/guidance/local-authorities-access-forums-role-of-the-local-authority">www.gov.uk/guidance/local-authorities-access-forums-role-of-the-local-authority</a>	No budget, NYCC Democratic Services provides officer time for secretariat.	NYCC	BES contribute c.£3.5K per annum for secretariat support.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Robert Heselbine and Cllr David Jeffels - members	No	Ian Kelly	Vicki Dixon	L	M	L	L	M	L	n/a
E Crime Project	BES	2, 3	To enable NYCC & City of York Council to deliver the national E-Crime sub project 1 in order to undertake E-Crime enforcement and to also co-ordinate national enforcement activity.	2016	Successful defence of appeal against conviction in E-mutual million ticketing fraud case. Proceeds of Crime investigation can now conclude with over £5 million in assets restrained. Web site domain suspensions and removal of content from social media platforms has resulted in the detection of £8,227,535 of consumer harm.	Continued delivery of a number of high-profile cases delayed due to COVID and court backlogs. Lodging appeal against an adverse Crown Court ruling regarding authority to prosecute offences outside the local authority area.	No	NYCC and City of York Council.		Projected outturn for 2022/23 is £1,418,870, funded by central government direct grant (£1,127,270 NYCC and £291,600 City of York Council).	NYCC	None	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Mike Andrews	Vicki Dixon	L	L	H	L	H	M	August 2022. This is a partnership between NYCC & CYC using grant funding. Continues to perform efficiently and no concerns noted.
North Yorkshire, York and North York Moors Minerals and Waste Plan	BES	1, 2	Production of joint mineral and waste local plan (development plan document).	On-going	There has been no change since the position in 2019/2020 due to further work required to be undertaken by the County Council's appointed consultants before progressing further along the process towards adoption.	The Authorities are required to publicly consult on their main modifications to the plan which is anticipated to take place in Q1 (subject to any restrictions that may be in place due to the Covid-19 pandemic)	No	The plan was formally adopted by the County Council on 16th February 2022.		Estimated at circa £90k.	No official Accountable Body - joint responsibility, although NYCC would typically take lead role.	TBC - Indicative up to £50k	Informal reporting to MWDF member working group and Joint Member Working Group. Executive member / Executive sign off at key project stages.	Cllr Andrew Lee (Chairman of MWDF member working group)	No	Vicky Perkin / Matt O'Neill	Vicki Dixon	L	M	L	M	M	L	n/a
York & North Yorkshire Waste Partnership	BES	2, 3	Delivering efficient waste management services that are in the best interests of the council tax payers of York & North Yorkshire - annual cost (value) of waste management in the sub-region (Inc. Yorwaste) is circa £80M. Continue to ensure delivery and review of joint waste strategy. Lets talk less rubbish.	2012	Government responses, guidance and legislation are expected shortly following consultations on the Resources and Waste Strategy in 2021. New local authority obligations regarding waste collection and disposal practices are being considered through LGR workstreams for the new Unitary Authority and through regular briefing sessions with City of York Council.	Government consultations on the Resources and Waste Strategy in March and April 2021 detail new local authority obligations regarding waste collection and disposal practices. The Partnership need to consider how York and North Yorkshire authorities can deliver cost effective solutions using existing and/or new waste management infrastructure in order to facilitate new collection services.	No	Portfolio holders for waste management at each of the partner authorities; overarching governance through LGNY. No formal governance document however there is a Statement of Agreed Principles (SOAP).		Base budget is £28.5k made up of districts contributions	City of York Council	£0	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Peter Jeffreys	Vicki Dixon	L	H	L	L	H	M	August 2022. No governance concerns. Partnership will need to manage changes arising from LGR & potential new statutory obligations, but no evidence to suggest that the Partnership cannot do this.
York and North Yorkshire Road Safety Partnership	BES	2, 3	To make travelling in York and North Yorkshire safer, and act in a way that inspires the trust and confidence necessary to make people feel safer too. The role of the partnership is to develop, implement and oversee the strategies to deliver the vision.	2021 terms of reference updated.	Due to Covid-19, little road safety education, training and publicity activity took place in 2021. Partnership is developing alternative approaches to the delivery the road safety initiatives. Rebranded as York and North Yorkshire Road Safety Partnership, dropping 95 Alive branding.	Implementation of 2021-2026 strategy document. Development of action plan to reflect reduced resources within the partnership.	No	Lead partners - NYCC, North Yorkshire Police, Fire & Rescue, City of York, Highways England, Public Health. Supporting partners - local community safety partnerships and OPPC. Written governance document.		officer time only - no dedicated budgets	NYCC	None	Annual report to Area Constituency Committees and Transport, Economy & Environment Overview & Scrutiny Committee. Reports to BES Executive Members on an ad hoc basis.	Cllr Don Mackenzie - Road Safety and Cycling Champion	no	Fiona Ancell	Vicki Dixon	M	M	M	M	M	M	August 2022. Signed governance documents remain in place. Partnership appears to be operating successfully with a 5 year strategy plan in place. No concerns noted.

North Yorkshire Timber Freight Quality Partnership	BES	4	Support the contribution of the forestry and timber industries to the North Yorkshire economy by ensuring that timber industries can access the timber resource whilst seeking to minimise the impact on the public road network, on local communities and on the environment.	Terms of reference reviewed November 2020.	Terms of Reference accepted by the Partnership in November 2020.	The Partnership and Approved Routes Map requires promotion in 2020.	No	Attendance by Executive Member for Highways and Transportation. Senior officers from BES, timber haulers, forest owners and agents. Written governance document.	<a href="http://www.timbertransportforum.org.uk/groups/north-yorkshire">www.timbertransportforum.org.uk/groups/north-yorkshire</a>	Expenditure outlined in NYCC budget contribution.	NYCC	Contribution circa £500 per year towards national timber routes map.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Don Mackenzie - Executive Member for Access, as required.	No	Keisha Moore / Louise Neale	Vicki Dixon	L	L	L	L	L	L	n/a
Settle Area Freight Quality Partnership	BES	4	To provide an opportunity to develop a partnership approach to dealing with issues related to HGV traffic through the Settle Area and to utilise this partnership approach reach voluntary workable solutions through consensus and concession.	None undertaken.	Not known to have met this year.	To be agreed.	No	Officers from NYCC BES H&T, parish council representatives and quarry managers. Written governance document.	<a href="http://www.nypartnerships.org.uk/safqp">www.nypartnerships.org.uk/safqp</a>	Expenditure outlined in NYCC budget contribution.	NYCC	Officer time. Annual expenditure limited to hire of hall for meetings (usually 1 meeting each year, cost of hire circa £60 per meeting).	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Vacant - to be appointed	No	Daniel Herbert	Vicki Dixon	L	L	L	L	L	L	n/a
Forest of Bowland Area of Outstanding Natural Beauty (AONB) Joint Advisory Committee (JAC)	BES	1, 2, 3	AONBs were established in accordance with the National Parks and Access to the Countryside Act of 1949 and the Countryside and Rights of Way Act 2000. The statutory purpose of AONBs is to conserve and enhance the natural beauty of their area. NYCC is a relevant authority in legislation.	2019 Joint Advisory Committee meeting and review including renewal of management plan to 2024.	Delivery of Pendle Hill LP. for an extension to December 2022. Delivery of Holme House Fell peat restoration project. Delivery of Bowland Meadow makers project. Commencement of 'projected Farming in Protected Landscapes' programme. Completed ELM test and trials work. commenced an AONB Nature Recovery Plan,	Delivery of Farming in Protected Landscapes programme until March 2024( FIPL). Integration of FOB Nature Recovery Plan (North Yorkshire element) with North Yorkshire Local Nature Recovery Plan. Engagement in High Nature Value farming in the northern upland AONBs. Farming and Wildlife and sustainable tourism advice. Advice.Delivery of Pendle Hill LP and general Peat Restoration projects.	No	Memorandum of understanding JAC includes one NYCC elected member. There is also an Officers Steering Group.	<a href="http://www.forestofbowland.com/joint-advisory-committee">www.forestofbowland.com/joint-advisory-committee</a>	£432,034 2022/23. Sources of funding: Defra AONB & FIPL Grants, local authority contributions including Craven (£600), private sector (United Utilities).	Lancashire County Council	£5,340 a year.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr David Ireton	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a
Nidderdale Area of Outstanding Natural Beauty (AONB) Joint Advisory Committee (JAC)	BES	1, 2, 3	AONBs were established in accordance with the National Parks and Access to the Countryside Act of 1949 and the Countryside and Rights of Way Act 2000. The statutory purpose of AONBs is to conserve and enhance the natural beauty of their area. NYCC is a relevant authority in legislation.	2019 Joint Advisory Committee meeting and review including renewal of management plan to 2024.	Development of 'nature recovery map'. Input into Glover Review consultation. Development of Skell Valley landscape project. Delivery of Conservation projects, planning consultation advice and Farming and Wildlife Advice. Development and delivery of first year of Farming in Protected Landscapes project. £426,835 in grant funding offered to farmers and landowners across the AONB.	Implementation of second year of Farming in Protected Landscapes programme. Delivery of four year Skell Valley project - working with partners including the National Trust and NYCC. Delivery of Conservation projects, planning consultation advice and Farming and Wildlife Advice. Integration of Local Nature recovery plans for Nidderdale AONB with York and North Yorkshire LNRS.	No	Memorandum of understanding JAC including three NYCC elected Members.	<a href="http://www.nidderdaleaonb.org.uk/joint-advisory-committee">www.nidderdaleaonb.org.uk/joint-advisory-committee</a>		Harrogate Borough Council	£14,800 a year. An additional approx. £4,000 comes from PROW joint projects.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Mike Harrison, Cllr Stanley Lumley and Cllr Margaret Atkinson - members of JAC.	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a
Howardian Hills Area of Outstanding Natural Beauty (AONB) Joint Advisory Committee (JAC)	BES	1, 2, 3	AONBs were established in accordance with the National Parks and Access to the Countryside Act of 1949 and the Countryside and Rights of Way Act 2000. The statutory purpose of AONBs is to conserve and enhance the natural beauty of their area. NYCC is a relevant authority in legislation.	2019 Joint Advisory Committee meeting and review including renewal of management plan to 2024.	Transition to a new AONB Manager. Development and implementation of the first year of the Farming in Protected Landscapes programme working with North York Moors National Park. Delivery of NHLF Ryevitise Project. Delivery of conservation projects and Planning responses on behalf of relevant authorities. Initial landscape recovery plan developed.	Implementation of the Farming in Protected Landscapes programme working with North York Moors National Park. Delivery of conservation projects including NHLF Ryevitise project and Planning responses on behalf of relevant authorities. HH AONB landscape recovery plan integrated in North Yorkshire Local Nature Recovery strategy work. Update to the AONB branding and website (inc ensuring compliance with accessibility requirements.	No	JAC includes two NYCC elected Members. There is also Officers Steering Group.	<a href="http://www.howardianhills.org.uk/about-us/partnership-and-funding/">www.howardianhills.org.uk/about-us/partnership-and-funding/</a>	2022/23 Budget = £197,041. £144,575 from Defra; £10,866 from District Councils; NYCC £41,600.	NYCC	£41,600 (2022/23)	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Caroline Patmore and Cllr. Caroline Goodrick - members of JAC.	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a

North Yorkshire and York Local Nature Partnership (LNP)	BES	2, 3	To drive positive change in North Yorkshire and York's natural environment, taking a strategic view of opportunities linking benefits of environment, people and the economy. LNP strategy provides context for delivery.	2020 Review of key priorities for LNP.	Supported delivery of Living Maps Project (Natural England led), to give comprehensive habitat coverage of North and East Yorkshire; Support for the North Yorkshire Devolution Proposal relating to Natural Capital ask. Delivery of Natural England grant funded Natural Capital Assets Register.	Development and assistance in delivery of North Yorkshire and York local nature recovery strategy and bio diversity net gain policy in accordance with Environment Act. Advice and project management of projects related to conservation and public health featuring the natural environment.	No	Senior officers of key local partners. Terms of Reference Document.	<a href="http://www.nypartnerships.org.uk/">www.nypartnerships.org.uk/</a>	£39,500 a year partnership spend on 2 year 0.5fte fixed term LNP Development Officer commenced 01/04/22. 2 year post joint funded by Local Authority Directors of Development in and LNP Board members.	East Riding of Yorkshire Council (for LNP Development Officer post).	No direct contribution on an on-going basis. Provision of office, equipment and management for LNP Development Officer.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a
North Eastern Inshore Fisheries and Conservation Authority (NEIFCA)	BES	1, 2, 3	Marine & Coastal Access Act 2009 - duty to champion and manage a sustainable marine environment and inshore fisheries. Partnership has a membership of 30 individuals including 13 local authority Members from 11 coastal local authorities (between Tyne & NE Lincolnshire).	2017 review of management activities at quarterly meeting	Despite challenges related to the Covid 19 pandemic, NEIFCA has maintained effective enforcement and compliance activity with both marine and onshore patrols. Particular issue this year with mass death incident of crustaceans investigated by multi agency partners led by DEFRA. Active engagement with other partnerships including the Yorkshire Marine Nature Partnership.	Continuing investigation into mass crustacean death incident with final report due Summer 2022 compiled by DEFRA. Continued enforcement and compliance activity with both marine and onshore patrols. Active engagement in Yorkshire Marine Nature Partnership.	No	Reps from the 11 coastal Local Authorities, 14 members appointed by Marine Management Organisation and 1 member appointed by each of Marine Management Organisation, Environment Agency and Natural England.	<a href="http://www.ne-fca.gov.uk/about-us/our-members">www.ne-fca.gov.uk/about-us/our-members</a>	Budget 2022/23 £1,337,343 funded by 11 coastal Local Authorities.	East Riding of Yorkshire Council	£297,158 2022/23 (£55,900 of which is received as a grant from Defra).	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr David Chance & Cllr Tony Randerson - members.	NYCC proportion of total levy is 22.2%, but only 2 members. Defra currently provides a grant of £55,900 to NYCC but this is not guaranteed to continue.	Liz Small	Vicki Dixon	L	L	H	L	L	M	August 2022. Constitution to formalise governance arrangements remains in place. Annual report and plan continue to be produced and all evidence shows effective management. No concerns noted.
Welcome to Yorkshire (W2Y)	BES	2	NYCC contribute to W2Y as part of support for tourism in the region.	W2Y went into administration in Feb 2022. Finance are engaged with the administrators regarding outstanding liabilities (primarily Pension Fund).	W2Y in administration.	Working across Yorkshire LAs to agree the forward approach to promoting the Yorkshire Brand and any successor to W2Y.	Yes - Company into administration	Public / private partnership. Written governance document.	<a href="https://industry.yorkshire.com/about/welcome-to-yorkshire-board">https://industry.yorkshire.com/about/welcome-to-yorkshire-board</a>	LA subs c. £450k. Turnover for the 2 years to March 2020 c. £9.3m.	W2Y	£84k	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Carl Les board member	Yes - agreement on approach and funding to future arrangement to support Yorkshire brand.	Karl Battersby	Vicki Dixon	H	L	M	L	H	H	August 2022. Ongoing engagement with Administrators to address liabilities.
Yorkshire Derwent Partnership	BES	3,4	To provide environmental improvements for public and bio diversity to Yorkshire Derwent River Catchment in line with government policy and guidance.	2018	Delivery of nature conservation projects related to catchment including natural flood management and enhancement of biodiversity. Key projects include Funding for Derwent Upland Streams with EA, Derwent lowland waders project, INNS control, and Derwent sediment reduction Engagement in Natural Capital asset register work.	Delivery of nature conservation projects related to the catchment including natural flood management. Key project delivery : EA funded Derwent Upland Streams project aimed at improved water quality. Involvement in Living Maps project. INNS control, Involvement in Local Nature Recovery Strategy as stakeholder organisation.	No	Representation from Local Authorities, DEFRA, relevant business and community bodies on Board. Delivery Group and officers steering group. Minuted meetings, terms of reference in place.	<a href="http://www.eastyorkshirerivertrust.org.uk/derwent-catchment-partnership.html">www.eastyorkshirerivertrust.org.uk/derwent-catchment-partnership.html</a>	Project expenditure circa £180,000 in 20/21 funded by external funders such as CABA, Environment Agency, Yorkshire Water.	NYCC	No set NYCC contribution to core costs however RFCC levy grant held by NYCC used for activity.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a
North Yorkshire - Cleveland Coastal Forum	BES	3,4	To promote Heritage Coast for economy, tourism, natural beauty and enjoyment. 5 year Heritage Coastal Strategy. <a href="https://coastalforum.wordpress.com/">https://coastalforum.wordpress.com/</a>	2014	The NYC Coastal Forum is currently inactive.	The NYC Coastal Forum is currently inactive.	No	Member representation from NYCC, North York Moors NPA, Redcar & Cleveland BC, Scarborough BC.	<a href="https://coastalforum.wordpress.com/2015/05/05/north-yorkshire-and-cleveland-heritage-coast-management-plan-2015-2020/">https://coastalforum.wordpress.com/2015/05/05/north-yorkshire-and-cleveland-heritage-coast-management-plan-2015-2020/</a>	None, no financial activity in last 5 years.	Scarborough Borough Council	£500 in budget, but not paid as no financial activity.	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Cllr Helen Swiers, Cllr David Jeffels and Cllr Joe Plant - members.	No	Liz Small	Vicki Dixon	L	L	L	L	L	L	n/a

North Yorkshire Flood Risk Partnership	BES	2	To coordinate and lead sub-regional activity aimed at reducing and managing flood risk.	2013	Continued support and North Yorkshire input into the EA FDGIA programme and local levy programme. Key projects presently delivering are Malton, Norton and Old Malton Flood Management Scheme (NYCC); Filey surface water flood scheme (Scarborough Borough Council); also York Flood alleviation scheme.	Delivery of new 2022 onwards FDGIA programme, delivery of levy projects in North Yorkshire area.	No	Member body with reps from Yorkshire RFCC, NYCC, City of York Council, Yorkshire Water, Environment Agency, and Internal Drainage Board core members. Written terms of reference - no formal decision making functions.		No budget	n/a	None	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Clr D Jeffels - member	No	Emily Mellaleu	Vicki Dixon	L	M	L	L	M	L	n/a
Transport for the North (TfN)	BES	1, 2, 3	Statutory Body (Sub-national Transport Body) for long term planning, development and implementation of pan northern transport infrastructure and services (incorporates Rail North with effect from April 2018).	Statutory Instrument creating TfN January 2018. TfN constitution agreed at the first full meeting of the TfN Member Board in April 2018.	Completion of Northern Powerhouse Rail Strategic Outline Case, completion of Strategic Development Corridors, ongoing engagement with NYCC leader and transport portfolio holder and NYCC officers on strategic road and rail issues in the north.	Co-sponsor on next phase of Northern Powerhouse Rail business case, work on Strategic Transport Plan refresh and updated Investment Programme, regional strategies on EV's, and ongoing engagement with NYCC leader and transport portfolio holder and NYCC officers on strategic road and rail issues in the north.	No	As set out in the TfN Statutory Instrument and constitution. Governed by the 20 Local Transport Authorities that cover the North.	<a href="https://transportforthenorth.com/wp-content/uploads/Constitution-2019-2020-004.pdf">https://transportforthenorth.com/wp-content/uploads/Constitution-2019-2020-004.pdf</a>	c£7m annually agreed and provided by HMT. (NB: Reduced from £10m)	TfN	c£2,500 contribution to Rail North which is now incorporated into TfN. NYCC has also commissioned TfN Rail to work on the Esk Valley Line scheme	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	Clr Carl Les - member; Clr Don Mackenzie - substitute member.	No	David Hern	Vicki Dixon	L	M	L	L	L	L	n/a
York, North Yorkshire and East Riding LEP Area European Structural and Investment Funds Committee	BES	1, 2, 3	Responsible for the strategic oversight of local investments of both the Structural (ERDF and ESF) and EAFRD Growth Programme Funds and their operational delivery in line with the Operational Programme and the strategic alignment to the LEPs Strategic Economic Plan and ESIF Implementation Plan.	2015		Oversight of delivery performance reflecting that the contractual relationship does not rest with the York and North Yorkshire LEP.	No	Membership is representative of various sectors including LEP, LAs, HE/FE, Key Sectors, Vol/Com, LEADER/Local Groups, Equalities and Diversity, Managing Authorities.	<a href="https://www.businessinspire.org/wp-content/uploads/Constitution-2019-2020-004.pdf">https://www.businessinspire.org/wp-content/uploads/Constitution-2019-2020-004.pdf</a>	No budget for partnership management.	MHCLG (ERDF) and DWP (ESF).	None	No routine report to NYCC elected member body, although any issues requiring decisions or reports will be fed in through normal processes.	Clr Andrew Lee - member.	No	James Farrar	Vicki Dixon	L	L	L	L	L	L	n/a
CYPs																								
Locality Boards (City Local Inclusion Steering Groups)	CYPs	2, 3	To consider the strengths and challenges facing education and inclusion in the locality, agree and implement locality plans to address these. The partnership has responsibility for an element of commissioning.	October 2019	Boards embedded and meet regularly to discuss the strengths and challenges. Regular reporting has been developed to inform the discussions.	Embed the work around the priorities identified 21/22. Ensure feedback to measure impact. Agree programme plan for 22/23 detailing further priorities and use of the budget allocation.	No	Up to 14 members made up from representatives elected from different settings: Early Years, Primary, Secondary, Special, Pupil Referral Service, Post 16 College.	in development	Budget for Inclusion locality board activity is £770k and for school improvement is £250k	NYCC	Budget for Inclusion locality board activity is £770k and for school improvement is £250k	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	To be determined.	No	Jane Le Sage / Amanda Newbold	Howard Emmett	L	M	L	M	L	L	n/a
Local Area SEND Strategic Partnership	CYPs	2	to oversee the statutory requirements of SEND under pinned by the Children and Families Act 2014 and the Care Act 2014	November 2020	Have full oversight of the delivery against the strategic plan. JSNA has been developed and progress has been made in developing a Mental Health dashboard.	Finalise the local area SEND strategy. Focus on Inspection Prep, new framework and fully prepared for inspection Refresh JSNA to identify current needs	No	Local Authority, CCG, Parent Carer Voice, SENDIASS,	N/A	None	NYCC	No	No	No	Jane Le Sage	Howard Emmett	L	L	L	L	L	L	n/a	

North Yorkshire Safeguarding Children Partnership (NYSCP)	CYPS	2	To support and enable local organisations and agencies to work together in a system where: Children are safeguarded and their welfare promoted; Partner organisations and agencies collaborate, share and co-own the vision for how to achieve improved outcomes for vulnerable children; Organisations and agencies challenge appropriately and hold one another to account effectively.	March 2021	Being Young in North Yorkshire strategy, BeAware Knowledge Hub, Prevent & Protect Model' to reduce risk of sudden unexpected death in infancy. Developments in Safeguarding Masterclasses. Schools Child Protection Manual. Schools Safeguarding Audit. Joint York, NY & East Riding Safeguarding Week. Framework for decision making: right help, at the right time by the right people.	As set out in Being Young in North Yorkshire Strategy 2021-2023.	No	Three statutory safeguarding partners (NYCC, North Yorkshire Clinical Commissioning Groups and North Yorkshire Police) plus those organisations and agencies that NYSCP consider to safeguard and promote the welfare of local children. These include health organisations, education, early years, criminal justice, voluntary sector, local government, public services and wider youth engagement group.	<a href="https://www.safeguardingchildren.co.uk/about-us/who-we-are/">https://www.safeguardingchildren.co.uk/about-us/who-we-are/</a>	£295,600. Contributions from key partners NYCC, Health, Police, Probation.	NYCC	£147k	Executive and Young People Overview and Scrutiny Committee Annually	Cllr Janet Sanderson - member.	No	Stuart Carlton	Howard Emmett	L	M	H	H	M	August 2022. Clear structure for the partnership in place and defined principles. Partnership Executive meet every 2 months chaired by independent scrutineer. Annual reports up to date and no concerns.
North Yorkshire Schools Forum	CYPS	1, 2, 3	The schools forum was established to provide schools with greater involvement in the distribution of funding within their local authority and to act as a consultative and advisory body in relation to school funding.	Reviewed on ongoing basis upon receipt of DIE guidance. The Schools Forum Constitution was last reviewed in May 2019 and Membership was last reviewed in November 2019.	Review of Capital Funding (particularly investment priorities for SEND, Covid-19 Early Years Support Arrangements, funding consultation and reviews for Early Years, mainstream schools, special schools, High Needs Block recovery plan arrangements, review of Pupil Growth and Falling Rolls arrangements.	High Needs Recovery Plan arrangements, small secondary schools, implementation of locally board arrangements for both SEND and school improvement, formula reviews.	No	Comprises reps of head teachers & governors from secondary, primary & nursery schools (including academies and PRS), staff associations (UNISON & teacher unions), early years & childcare providers, Church of England & Roman Catholic dioceses. Written constitution.	<a href="https://www.northyorks.gov.uk/nyp">cyps.northyorks.gov.uk/nyp</a>	Makes decisions and/or provides a stakeholder forum on up to £400M+	NYCC	£100k (DSG)	Cllr Janet Sanderson and Cllr Patrick Mulligan (Executive Members) and Young People Overview and Scrutiny Committee - as required.	Cllr Janet Sanderson - member (non voting); Cllr Patrick Mulligan - member (non-voting).	No	Marion Sadler (Clerk)	Howard Emmett	L	H	M	M	M	August 2022. No concerns noted. Governance documents remain in place. Regular meetings (open to public scrutiny) continue to be held and outcomes properly reported.
North Yorkshire Youth Justice Service (Management Board)	CYPS	1,2,3	To provide strategic direction and resourcing to enable the Youth Justice Service to meet its principal aim of preventing offending by children & young people. Section 38 of the Crime & Disorder Act 1998 places a duty on the Local Authority, acting in cooperation with other statutory partners, to ensure the availability of youth justice services for their area.	2017	Maintaining service delivery under exceptional Covid conditions. Substantial and sustained reduction of custodial sentencing. Secured NHS England funding for high-need young people. Development of enhanced, integrated safeguarding practice.	Securing long-term position of national pilot MAP Assessment. First time entry and re-offending rates remain stubbornly high. Focus on hotspot of high-need in Scarborough Coast area. Further development of integrated prevention and diversion.	No	Lead Member Children's Services, Senior Managers from CYPS and Partners.		£2.4 million (including value of seconded staff). Expenditure funded by statutory funding partners (NYCC, Police, Probation, Health) together with grant funding from the Youth Justice Board.	NYCC	£1.0 million.	Cllr Janet Sanderson and Cllr Patrick Mulligan (Executive Members) and Young People Overview and Scrutiny Committee - as required. Annually to Full Council.	Cllr Janet Sanderson - member of Management Board.	No	Stuart Carlton (Chair of the Management Board).	Christian Player	L	M	M	H	M	April 2018. Deficit covered by reserves. Partners' contributions clear and honoured. Sustainable following service changes. Arrangements suitable but to be kept under review.
North Yorkshire Coast Opportunity Area	CYPS	2,3	To oversee, direct and advise investment in the North Yorkshire Coast to improve social mobility. Funding of £6.7m over 3 years will be provided by the Department for Education (DfE). DfE have granted NYCC the funding, decisions on how it is allocated and spent thereafter has been delegated to the Programme Partnership Board .	Partnership Board established July 2017.	Training for 24 Primary Schools in Nurture (worth £5K+ to each school). Delivered mentoring/counselling to 60+ of the most vulnerable Y6 children. Facilitated enhanced access to various Alternative Provision providers.	Increase Nurture offer to a further 12 schools. Continuing AP funding. Enlarging mentoring offer for vulnerable Y6 children. School leadership instability (including Headteacher and SENCO/Inclusion changes) that threaten the sustainability of OA projects. Closure of OA (August 2022). Remove the oversight / system leadership that has supported schools / leaders to enable links / opportunities.	No	Chair is Sir Martin Narey. NYCC is represented on the Board by Stuart Carlton and Martin Kelly.		c.£2M provided by DfE.	Shared accountability between NYCC and DfE	This work is aligned with the existing NYCC commitment to the Scarborough Pledge (c.£0.75m). No additional contribution is made to the Opportunity Area	Cllr Patrick Mulligan (Executive Member) every 6 months.	None	No	Richard Benstead	Howard Emmett	L	M	H	M	M	April 2018. Detailed delivery plan. Properly constituted board with suitable representation from the education sector. Funding from DfE. No concerns to note.
<b>HAS</b>																							
Transforming Care	HAS	1	To prevent admissions into Learning Disability (LD) specific in-patient beds. Facilitate timely discharge and community resettlement for people with complex LD and/or autism with behaviours that challenge including those with a mental health condition.	Reviewed during 2019/20 resulting in a changed governance framework.	To continue to deliver on priorities despite the Covid 19 pandemic. The Partnership has delivered so much more in the last year to 18 months in terms of TCP and has been recognised for this work across the country.	Continue to strengthen work in the community and to facilitate timely discharge and to continue to deliver the priorities of the partnership.	No	NYCCG on behalf of behalf of three CCGs plus Vale of York CCG, Tees Esk Wear Valley NHS Trust, NYCC, City of York Council, NHS England specialist commissioners. Agreed Terms of Reference.		Managed within partner agency resources	NYCCG on behalf of CCGs	There will be financial implications regarding individuals' care packages.	Elected members on Health and Wellbeing Board as required.	None	No	Rachel Bowes / Chris Jones-King / Helen Thirkell	Anton Hodge	L	L	L	L	L	n/a

Care Alliance Workforce Development	HAS	2	Influence training provision for sector e.g apprenticeships, digital skills development. Influence quality standards (through effective workforce development). Link with local recruitment campaigns to ensure presence, visibility and impact in enabling others to see social care as an attractive career. Identify, facilitate and enable access to workforce development funding pots.	None undertaken.	Dealing with the issues of the Covid 19 Pandemic whilst being able to continue to deliver on some of the issues and recruitment campaigns.	To be agreed.		NYCC, City of York Council, Skills for Care, ICG, private, voluntary and independent sector providers, Health Education England, Jobcentre Plus.	<a href="http://www.cawd.org.uk">www.cawd.org.uk</a>	No regular income. External grant funding received for specific projects.	NYCC	None	No routine report to NYCC elected member body, any issues feed in to County Council processes in the usual way.	None	Objectives of the partnership are reliant on external fundraising or goodwill of partner organisations.	Sally Lichfield	Anton Hodge	L	L	L	L	L	L	n/a
Health Protection Assurance Group	HAS	2	Oversees the health protection plans and arrangements and provides assurance to NYCC and the Health and Wellbeing Board. The Group is North Yorkshire vehicle to oversee a statutory function, legislation does not require a group.	January 2019 Terms of Reference reviewed and updated.	Dealing with the issues of the Covid 19 Pandemic whilst being able to continue to the sub groups that form part of this Health Protection Assurance Group have been able to deliver some of their work.	Continue to deliver on the work of the sub groups throughout the coming year and look at those areas that had to be delayed due to the Pandemic. Also look to see if there are areas of collaboration, resulting from the pandemic that can feed into the sub group and positively affect deliver of key themes.	No	Director of Public Health NYCC (Chair), Director of Public Health City of York Council, Public Health Consultants, Public Health England, Chief Environmental Health Officer rep, CCGs rep, NYCC Emergency Planning, NHS England Health Emergency Planning, Director for infection control and prevention from NHS provider trusts.		Existing partner agency resources - joint commissioning of community infection control team (and TB team) with HaRD CCG as lead commissioner.	NYCC	None	Cllr Andrew Lee (Executive member for Public Health) - as required.	None	Capacity within each individual organisations to respond and challenge of multi-agency operationalising of outbreak plans.	Victoria Turner	Anton Hodge	L	L	L	M	M	L	n/a
Involvement forums (NY Learning Disabilities Partnership Board, NY Disability Forum)	HAS	2, 4	Visible public engagement on services and stronger user voice and influence. Made up of representatives of local disability forums, three of which are independently constituted or moving towards independence. NYCC contributes towards the funding.	Boards regularly review the work they undertake; board development is on-going.	Established connections with disability user-led orgs, contributed to engagement & coproduction requests, fed in concerns and issues arising during Covid on behalf of disabled people. NYLDPB: also kept in touch via update letters & new fortnightly bulletin, produced activity packs and new podcasts.	Continue to develop links with disability user-led organisations & establish peer support. Support local disability forums to develop/grow, particularly membership & governance for newly independent forums; peer support/joint working between forums. NYLDPS: Plan for return to face to face meetings. Recruit new independent Chair for NY Health Task Group. Continue implementation of Board's work plan, supporting Live Well Live Longer Learning Disability Strategy.	No elections for Local Area Group chairs ad some forum chairs postponed due to Covid restrictions.	Self advocates, community members, service users and carers, NYCC officers, other statutory agency reps. Written governance documents.	<a href="http://www.nypartnerships.org.uk/adults">www.nypartnerships.org.uk/adults</a>	Approx. £130k from NYCC in 2020; estimated contribution from other sources £20k	NYCC but some groups moving towards being independently constituted.	£130k	Cllr Michael Harrison and Cllr Andrew Lee (Executive Members) - as required.	None	No	Shanna Carrell	Anton Hodge	L	M	L	M	M	L	n/a
North Yorkshire Drug and Alcohol Partnership Group	HAS	2	Promote health and well-being; reduce the harmful effects that drug and alcohol misuse cause to individuals and communities; promote recovery from dependence, and reduce drug and alcohol related crime.	2018	Convened in Oct 2020. Re-procurement of specialist YP service completed & new contract awarded (NYCC led, financial contribution from OPFCC). Drug Alerts issued, Multi-agency Emerging Drug Trends sub-group est. Drug & Alcohol Related Deaths Confidential Enquiry Protocol maintained, partnership contribution strengthened.	Section 31 Grant implementation. Drug market intelligence. Drug and alcohol related deaths confidential enquiry. Implementation of specialist YP contract. Offender and substance misuse pathways.	No	Multi-agency including e.g. PH; Police, Probation, NY Sport, LCSB, Horizons, Compass REACH, Liaison and Diversion. Governance - sub group of HWBB. Relationship with LCSB, SAB, SOC Group, NY Community Safety Partnership etc.		No funding of its own. Provides strategic direction to resource allocation.	NYCC	c£5m Public Health	Key developments reported to Cllr Andrew Lee. Report to Scrutiny Committees on specific work programmes.	None	No	Angela Hall	Anton Hodge	L	M	H	M	M	M	October 2018. Terms of reference agreed and in place for the group. The terms are concise, but adequate for a group which has no independent funding.
Safeguarding Adults Board	HAS	1	To provide strategic leadership for Adult Safeguarding arrangements and to challenge and quality assure partner agencies safeguarding practice.	2016.	Focus on response and recovery to Covid. Key achievements: Dev & Imp of People in Positions of Trust Policy and Procedure. Completion of Safeguarding Adult Review & publication of report. Development & implementation of a Joint Engagement & Comms Strategy with NY Safeguarding Children's Partnership and NYCommunity Safety Partnership. Safeguarding Week campaign in 2020.	Reconnect with communities to raise awareness & develop strategies to address risk of abuse. Ensure multi agency safeguarding policies & procedures in line with best practice inc prep for Liberty Protection Safeguards. Ensure stronger partnership approach for prevention of abuse. Ensure able to effectively adapt & respond to wider contextual changes affecting adult safeguarding inc connection to NHS ICS & being fully appraised and engaged in LGR.	No	Strategic Board: NYCC, Police, CCGs, District Councils, ICG, Health Trusts, Healthwatch, NHS England, Director of Public Health. Four sub groups involving statutory partners plus District Councils, Probation, ICG, NYFF, Fire and Rescue, Health Trusts NHS England, LCSB.	<a href="http://www.nypartnerships.org.uk/sab">www.nypartnerships.org.uk/sab</a>	Three statutory partners - NYCC, Health and Police contribute £20k each towards the cost of running the SAB.	NYCC	£20k	Annual Reports to Care and Independence Overview and Scrutiny Committee and Health and Wellbeing Board.	Cllr Michael Harrison - in attendance.	Organisational priorities and financial constraints impact on partners abilities to support / implement the SAB strategic outcomes / work programme.	Louise Wallace / Sheila Hall	Anton Hodge	L	H	L	H	H	M	March 2019. Appropriate governance arrangements in place. Structure was revised in December 2018. Clear structure is in place with adequate input and protection for NYCC. No concerns.



Health and Wellbeing (HWB) Board	HAS	1, 2, 3	To oversee the development and implementation of the priorities agreed and set out within the Health and Wellbeing Strategy. To improve the health and care outcomes for the people and communities of North Yorkshire.	2014	The Board met twice in this period. The decision was taken by the Chair and Vice-Chair not to meet to enable partners to concentrate on managing the day to day response to the Pandemic and to prepare for recovery. Whilst it has not met regularly as an entity, the Board has been kept apprised of developments and key partners briefed.	Refresh Joint Strategic Needs Assessment. Produce new Joint Health and Wellbeing Strategy. Produce new Pharmaceutical Needs Assessment. Establish effective links with the two Integrated Care Systems in our area which are scheduled to formally commence from 1st July 2022.	No	NYCC, Clinical Commissioning Groups, representatives from District Councils (at Member and officer level), NHS providers, Voluntary and Community Sector, NHS England, NY Healthwatch, GPs, Care Providers, Emergency Services and Healthwatch.	<a href="http://www.nypartnerships.org.uk/hwbb">www.nypartnerships.org.uk/hwbb</a>	No funding of its own but it has oversight of the Better Care Fund (BCF) pooled budget and strategic direction for investment against HWB priorities.	Accountability rests with individual organisations for delivery of HWB plans.	None	Health and Wellbeing Board. The Board meets 6 times per year, with a balance of public meetings and development sessions.	Clr Michael Harrison - Chairman, Clr Janet Sanderson and Clr Andrew Lee Members. NOTE: Clr Lee replace Clr Dickinson part way through 2021/2022	The complexity of accountability resting with individual member organisations and the fact that there can be competing interests.	Louise Wallace / Patrick Duffy	Anton Hodge	L	M	H	M	H	M	August 2022. Clear governance arrangements. Board not met as frequently as expected recently, but this is understandable given the pandemic and no concerns that it cannot work effectively.
Seasonal Health Strategic Partnership	HAS	2	Multagency partnership, leading and developing strategy and linking to existing partnerships which aim to improve and maintain health during the winter months and reduce excess winter deaths and fuel poverty.	2019 - new strategy being developed focussing on seasonal health; partnership will change name to seasonal health strategic partnership from April 2020.	Dealing with the issues of the Covid 19 Pandemic whilst being able to continue to deliver on some of the issues such as fuel poverty and dealing with winter health issues outside of the pandemic.	Looking at / reviewing and publishing the strategies for the Seasonal Health Strategic Partnership that were paused due to Covid 19.	No	Members: NYCC officers, A&E Boards (replaced Local Resilience Groups), CCGs, District Council Winter Weather Groups, NHS Capacity Planning Groups, NHS Foundation Trusts, Voluntary Sector, Blue Light Services, Health Watch. The partnership feeds into the Health and Wellbeing Board and the North Yorkshire Local Resilience Forum. Chaired by North Yorkshire Fire and Rescue Service.	<a href="https://www.nypartnerships.org.uk/winterhealth">https://www.nypartnerships.org.uk/winterhealth</a>	Public Health Grant £50k and any additional external funding bids made by the partnership.	NYCC.	£50k	No routine report to NYCC elected member body, any issues feed in to County Council processes in the usual way, Health & Well being board HASLT	None	Accountable body to be determined for additional funding bids made by the partnership.	Victoria Turner	Anton Hodge	L	M	M	L	L	L	n/a
Healthy Weight, Healthy Lives	HAS	2	To deliver against the six priorities set out in the Healthy Weight, Healthy Lives Strategy and implementation plan across the obesity system in North Yorkshire.	February 2018	Annual report has been drafted Dealing with the issues of the Covid 19 Pandemic whilst being able to continue to deliver on some of the issues.	Progress and implement LA Dec of Healthy Weight through LGR. Support schools to embed physical activity in curriculum recovery programme. Work with York University to evaluate & widen impact of School Zone Project for NY. Ensure sustainable Food Partnerships across the district continue to map local food infrastructure & need & ensure sustainable emergency support model is in place/build on partnerships established during pandemic to address food poverty.	No	The Steering Group is accountable to the Health and Wellbeing Board. Working groups/place-based groups; task and finish groups will feed into the Steering Group.		No additional investment - utilisation of existing assets across multiple partners.	Health and Wellbeing Board.	None	Elected members on Health and Wellbeing Board - as required.	None	Yes, engaging with the NHS to ensure referrals for people at risk.	Katie Needham / Rachel Richards / Ruth Everson	Anton Hodge	L	L	M	L	L	L	n/a
Harrogate and Rural Alliance	HAS	3	The integration of community health and adult social care in Harrogate and district	September 2019	Pilot for organisational model with good feedback. Established the new Covid operating model with other HARA partners. Piloted MDTs across all of the PCNs.	Current governance documents will end in March 2022. Next few months partners will be looking at the governance for HARA No 2 Current governance arrangements have been extended for one year to 31 March 2023. This will allow for further development of HARA 2.	No	HARA board consisting of senior managers from NYCC, HDFT, TEWV, HaRD CCG, YHN Alliance Leadership team - we have reviewed the HARA board structure to take account of new NHS structures and the experience from the last two years of operation. These new structures will come in to place as the new NHS structures are implemented.		£60m NYCC and CCG commissioned services	NYCC, HDFT and HaRD CCG	£55m	Clr Michael Harrison, Executive Member, 6 monthly	None	Ensuring that appropriate data governance arrangements are in place for the alliance	Chris Jones King / Chris Watson	Fred Chambers	L	L	M	M	L	L	n/a
Integrated Care Systems / Sustainability and Transformation Partnerships	HAS	2, 3	NYCC is key partner in West Yorkshire & Harrogate (Craven) and Humber, Coast & Vale (rest of county). Bring together NHS commissioners & providers, local government, etc to improve health of population. Collaborative partnerships but strong expectation that NHS partners work together to plan/deliver services within financial envelope. NYCC is partner but not committed to sharing financial risk with the NHS.	2019	NYCC now a member of two Integrated Care Systems : Humber/Coast/Vale which covers 90% of the county's population & WY & Harrogate/covers 10% of population/Craven. NYCC Elected Member & officer involvement in the boards of each ICS. NHS White Paper will develop partnerships further. CE, CD HAS & DPH are members of the NYY Systems Leadership Executive, likely to become NYY ICP, as per White	The NHS White Paper will develop these partnerships further. In the meantime, the Chief Executive, CD HAS and DPH are members of the NYY Systems Leadership Executive, which is likely to become the NYY Integrated Care Partnership, as required by the White Paper.	No	Chief Executive and the Director of Health and Adult Services as his deputy.		n/a	n/a	None	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Richard Webb	Anton Hodge	L	M	M	M	L	L	n/a

North Yorkshire and York Systems Leadership Executive	HAS	2, 3	Meeting of all Chief Executives across NHS and local government across North Yorkshire & York. It considers strategic issues and interfaces with the Integrated Care Systems. It provides a forum for Chief Executives to work together to consider financial challenges; transformation of services and has a work programme for the next ten years with 10 strategic priorities.	2019			No	Chief Executives of all NHS organisations across North Yorkshire and the Chief Executives of North Yorkshire Councils.		n/a	n/a	None	No routine report to NYCC elected member body, any issues arising feeding in to County Council processes in the usual way.	None	No	Richard Flinton	n/a	L	M	M	M	M	L	n/a
Market Development Board	HAS	3.4	The role of the board is to provide oversight of the social care market in North Yorkshire. It brings together statutory commissioners, ICG and the voluntary sector and its role is to influence and shape the transformation of the adult social care market and influence commissioning plans for statutory agencies.	Terms of Reference Jan 2021	A relatively newly formed board progress to date has been to agree key transformation workstreams for the next 3 years. Regular reporting is in place to monitor progress.	Review and recommissioning of 4 main approved provider lists for North Yorkshire County Council. Agree the scope of transformation for residential nursing strategy, reimagining homecare, supported living and non regulated care.	No	NYCC reps, ICG, NYCCG, VoY CCG, Community First Yorkshire and CoY Council.		Managed within existing budgets.	Respective commissioning bodies existing governance arrangements.	None	Exec member of health and adult services	N/a	No	Dale Owens	Anton Hodge	L	M	L	M	L	L	n/a
Integrated Planning and Commissioning Board in Hambleton, Richmondshire and Whitby	HAS	2,3	To shape commissioning priorities to meet the health and wellbeing needs of the local populations underpinned by Section 75 agreements (Section 75 of the Health and Social Care Act 2006).	July 2017	In abeyance and a review to take place.	In abeyance and a review to take place.	No	Senior officers of HAS and respective CCGs.		Initially £100k, potentially over time all that is in the scope of Section 75.	CCG and NYCC through Section 75 agreement.	Initially £50k, potentially over time all that is in the scope of Section 75.	Clr Michael Harrison and Clr Andrew Lee (Executive Members) - as required.	None	No	Richard Webb	Anton Hodge	L	M	M	M	M	L	n/a
Integrated Planning and Commissioning Board in Scarborough and Ryedale	HAS	2,3	To shape commissioning priorities to meet the health and wellbeing needs of the local populations underpinned by Section 75 agreements (Section 75 of the Health and Social Care Act 2006).	July 2017	In abeyance and a review to take place.	In abeyance and a review to take place.	No	Senior officers of HAS and respective CCGs.		Initially £100k, potentially over time all that is in the scope of Section 75.	CCG and NYCC through Section 75 agreement.	Initially £50k, potentially over time all that is in the scope of Section 75.	Clr Michael Harrison and Clr Andrew Lee (Executive Members) - as required.	None	No	Richard Webb	Anton Hodge	L	M	M	M	M	L	n/a
North Yorkshire Outbreak Management Board	HAS	1	To support effective communication of the test, trace and contain plan for the county with public and local businesses. Support and strengthen the plan to underpin every decision that is taken as we move through the next stage of managing the pandemic.	Established with Terms of Reference June 2020	Supported the effective communication of the test, trace and contain plan for the county and to ensure that the public and local businesses are effectively communicated with.	At its meeting on 25th March 2022 it was agreed that the Board be stood down unless and until it is necessary to meet again. An example of it being necessary to meet again would be if a future Variant of Concern took hold and where it would be helpful to have a cross agency meeting to support communication in the locality.	No	Elected Members of County and all District/Borough Councils in North Yorkshire; NHS England; North Yorkshire Police, Fire and Crime Commissioner; Chief Constable; NHS; Healthwatch North Yorkshire; Schools; Voluntary and Community Sector; Public Health England; Chief Executive; Corporate Director Health and Adult Services; Director of Public Health; Care Sector; North Yorkshire and York Local Enterprise Partnership.	<a href="http://www.northyork.gov.uk/our-outbreak-plan">www.northyork.gov.uk/our-outbreak-plan</a>	Managed within partners' budgets.	NYCC	No budget; NYCC provides officer time for secretariat.	None specifically, but the Executive Member for Adult Services and Health Integration is the Vice-Chair.	Clr Les Chair, Clr Harrison - Vice-Chair, Clr Andrew Lee, Clr Stuart Parsons.	Meetings live streamed. Decisions of the Board are purely advisory and its recommendations are considered through the governance arrangements of the bodies represented which will retain their decision making sovereignty.	Louise Wallace, Director of Public Health	Anton Hodge	L	M	L	M	H	M	August 2022. Legal Services were involved in drawing up the terms of reference and will contribute to their ongoing review.

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## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

24 October 2022

#### BUSINESS CONTINUITY – ANNUAL REPORT

<b>1 Purpose of Report</b>
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| <b>1.1</b> To provide an overview of the current business continuity (BC) arrangements for North Yorkshire County Council. |
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## 2 Background

- 2.1 During an emergency or incident North Yorkshire County Council is still required to deliver its critical services. Heavy snow, power outage or cyber attacks are a few examples on how services could be affected and Service Areas need to maintain plans to ensure they can continue to operate the most essential aspects, even if they lose essential resources. This could be social care being able to reach isolated communities, highways winter maintenance operating with reduced fleet or the Customer Resolution Centre maintaining services with a loss of computer systems.
- 2.2 The Civil Contingencies Act 2004 places a statutory duty on Local Authorities as a Category 1 responder to maintain plans to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable. The duty relates to all functions, not just their emergency response functions:
- Emergency management/civil protection: Functions that underpin the Category 1 responder's capability to respond to the emergency itself, and take effective action to reduce, control or mitigate the effects of the emergency.
  - Impact on human welfare, the environment and security: The significance of services to the effective functioning of the community in the event of an emergency, or an adverse effect on the environment.
  - Legal implications: Statutory requirements on Category 1 responders and the threat of litigation if a service is not delivered, or is delivered inadequately.
  - Financial implications: Loss of revenue and payment of compensation.
  - Reputation: Functions that impact on the credibility and public perception of a Category 1 responder.
- 2.3 The NYCC Resilience & Emergencies Team (RET) is tasked with ensuring that all NYCC directorates and service areas have robust arrangements in place to ensure they are able to deal with a variety of impacts capable of disrupting their provision of service to the communities of North Yorkshire.

- 2.4 The business continuity arrangements have evolved to ensure that directorates have plans in place to mitigate and manage disruptive incidents such as a loss of staff, buildings, equipment or disruption to information technology or supply chains. Service Units create an operational plan to manage the loss of these resource procedures.
- 2.5 The NYCC Resilience and Emergencies Team continue to consider internal audit reviews and work with NYCC BC Champions via the Corporate Risk Management Group (CRMG) to maintain a dialogue with each service area, improving engagement and transparency and ensuring a consistent corporate process for business continuity across North Yorkshire County Council while keeping bureaucracy to a minimum.
- 2.6 Local Government Reorganisation creates a number of business continuity opportunities and risks but the new authority should find itself in a strong position with its Business Continuity process. Service Level Agreements have existing between the NYCC Resilience and Emergencies Team and six of the District and Borough Councils since 2004 (Scarborough Borough Council 2009). Although Harrogate Borough Council maintain their own business continuity arrangements a fundamental consistency in approach between the majority of services should allow for manageable transition.

### **3. NYCC Business Continuity process**

- 3.1 Corporate Business Continuity and disruption to NYCC services continue to be addressed through an embedded assessment considering loss of staff, equipment, technology, buildings and key suppliers. These impacts are risk assessment and mitigation measures documented in service area BC plans.
- 3.2 The NYCC Business Continuity plans consist of two key documents for all service provision;

Business Impact Analysis (BIA) - The Business Impact Analysis looks at priority business functions and quantifies the impact a loss of those functions may have.

Incident Management Plan (IMP) - The Incident Management Plan helps a service area plan a process to respond to and work around a range of possible impacts on their provision of priority services during any incident.

- 3.3 The NYCC corporate Business Continuity share-point site is the central portal for all relevant service-area and directorate documentation and is monitored and overseen by a Senior Resilience & Emergencies Officer from the Resilience and Emergencies Team, ensuring compliance and currency.
- 3.4 The share-point site is easily accessible and regularly updated providing service area practitioners and management, with up to date information, allowing informed business continuity decisions to be made. This also provides a framework for assurance during any disruption of service, information for the Corporate Risk Management Group and a mitigation pathway for loss of priority services.

- 3.5 The NYCC Corporate Business Continuity Policy states that each directorate is required to work with their allocated RET officer to assess their BC planning and their most likely risks. RET continue to facilitate BC exercises with all directorates to raise awareness and train relevant staff. This ensures that staff are regularly provided with realistic and current scenarios and what to expect during any relevant incident.
- 3.6 Policy adherence is overseen by named RET officers, designated with the task of reviewing service area BC arrangements. A reporting regime is in place and every directorate now has a designated Assistant Director or Head of Service who fulfills the role of BC champion. This champion oversees their business continuity arrangements, to take ownership of the process and to represent their directorate at the Corporate Risk Management Group (CRMG).
- 3.7 The Corporate Director (Strategic Resources) continues to have overall responsibility for Business Continuity within NYCC, with the function co-ordinated and facilitated by the designated officers from the Resilience and Emergencies Team. The Corporate Risk Management Group oversee the BC process. The executive portfolio for resilience, emergency planning and business continuity continues to sit with Leader of the Council, Cllr. Carl Les.
- 3.8 The CRMG have strategic oversight for business continuity and BC Champions work closely with relevant directors to ensure satisfaction with information and process to provide annual statements of assurance. Directorates report a BC RAG (Red, Amber, Green) status update to the CRMG every quarter.
- 3.9 A Corporate NYCC Business Continuity Plan is in place, ratified by NYCC Management Board and continues to ensure a consistent and co-ordinated response across the organisation during any disruptive incidents.
- 3.10 The provision of a structured BC framework across NYCC directorates, including links with the multi-agency Response to Major and Critical Incidents (RMCI) plan has enhanced management of information and supported a communication strategy that informs senior management across the organisation enabling them to identify priorities in the restoration of priority services.

## **4 BCP 2022 Update report**

### **4.1 NYCC - since the last Audit Report**

- 4.1.1 Since the last report in October 2021 NYCC has been continuing to develop its learning from the global pandemic. The lack of access to buildings and equipment, the loss of staff due to isolation and the restrictions of moving around the County has all led to services area rethinking the resources required to deliver their most critical activities. The improvements of IT systems and applications, such as Office 365 and Teams, have created new ways of working to support business continuity arrangements. Recently the council has also had

to consider the impacts from the disruption to fuel supplies.

4.1.3 NYCC have worked collaboratively with a wide spectrum of multi-agency partners through the Local Resilience Forum (LRF) to ensure any interdependencies in service delivery or risks to critical services were co-ordinated and supported where required.

4.1.4 A number of single and multi-agency debriefs have occurred which assist in organisational learning from incidents. Lessons identified have been captured by a robust de-brief process and recommendations embedded for future practice.

## **4.2 Local Government Review (LGR) - since the last Audit Report**

4.2.1 A workstream has been created to oversee LGR for Regulatory Services and Planning work. Matt Robinson (NYCC Head of Resilience and Emergencies) was appointed as subject matter lead for Emergency Planning and Business Continuity as part of this particular workstream.

4.2.2 A number of sub groups were established to co-ordinate the transition period these included:

- District / Borough
- County Council
- Local Resilience Forum

4.2.3 A five phase timeline has been created to assist in effectively delivering a safe and legal business continuity management system for the new Council:

Phase 1 Jan 2022 / April 2022 -	Understand and agree risks
Phase 2 May 2022 / August 2022 -	Plan
Phase 3 September 2022 / December 2022 -	Finalise
Phase 4 January 2023 / April 2023 -	Embed
Phase 5 April 2023 –	Review and identify lessons

4.2.4 Risks identified by the sub groups have, and continue to be, raised within the various LGR work streams.

4.2.5 A new North Yorkshire Council BCP Policy and Programme, as well as Strategic and Tactical Plans, are being created to ensure a consistent and coordinated approach can be achieved. These will be signed off by the newly appointed Chief Executive prior to December 2022.

4.2.6 The existing operational documents will be maintained and constantly reviewed to ensure resilience.

## **4.3 Priorities for the next 12 months.**

4.3.1 As we move into the winter period the seasonal impacts may continue to stress test the councils business continuity processes. As a Council we need to be mindful of these pressures especially on the run up to vesting day, the creation of North Yorkshire Council and into the transformation period.

4.3.2 Work force challenges are likely to remain taxing on services, the disruption in the fuel supply also reminds us that many front line services still require to travel around the County. There continues to be heightened awareness of the enhanced risk of a cyber attack and the Councils approach to hybrid working means that access to contingency equipment can sometimes be limited. Corporate awareness of these risks and good continuity planning will ensure a strong process for prioritization of resources and delivery of critical services.

4.3.3 The Resilience and Emergencies Team will continue to anticipate and co-ordinate the business continuity process for North Yorkshire County Council.

This will include:

- Assurance processes
- Peer review of documents
- Engagement
- Exercises

4.3.2 LGR planning will continue to ensure that there is an operational, tactical and strategic understanding on how the Business Continuity Management System will operate under the new corporate structures. This will include a number of exercises and engagement sessions for newly appointed senior managers.

4.3.3 A command structure will be established and operated in and around the vesting day period to allow for issues to be escalated and co-ordinated.

4.3.4 Following 1<sup>st</sup> April 2023 the new Business Continuity Management System will continue to be embedded within North Yorkshire Council.

## **5 Recommendations**

**5.1** Audit Committee to note the recent challenging incidents that have been managed by the NYCC Directorates, overseen by the Business Continuity Champions and fully supported by the Resilience & Emergencies Team and the continued efforts of all service areas at North Yorkshire County Council and the new North Yorkshire Council to embed resilient practice.

Author: Matt Robinson, Head of Resilience & Emergencies - NYCC



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## NORTH YORKSHIRE COUNTY COUNCIL

### AUDIT COMMITTEE

24 OCTOBER 2022

#### INTERNAL AUDIT WORK FOR THE BUSINESS AND ENVIRONMENTAL SERVICES DIRECTORATE

##### Report of the Head of Internal Audit

#### 1.0 PURPOSE OF THE REPORT

- 1.1 To inform Members of the internal audit work performed during the year ended 30 September 2022 for the Business and Environmental Services (BES) directorate.

#### 2.0 BACKGROUND

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. In relation to the Business and Environmental Services (BES) directorate, the Committee receives assurance through the work of internal audit (as provided by Veritau) as well as receiving a copy of the latest directorate risk register.
- 2.2 This agenda item is considered in two parts. This first report considers the work carried out by Veritau and is presented by the Head of Internal Audit. The second part is presented by the Corporate Director and considers the risks relevant to the directorate and the actions being taken to manage those risks.

#### 3.0 WORK CARRIED OUT DURING THE YEAR ENDED 30 SEPTEMBER 2022

- 3.1 Internal audit work is planned and delivered on basis of risk. Veritau has met regularly with BES management to maintain an ongoing awareness and understanding of key risk areas such as highways, planning, devolution and waste services, and to discuss and prioritise work. Attendance at meetings such as the fortnightly Supply Chain Resilience Board has also provided assurance to us on how key risks and financial challenges relevant to the directorate are being managed.
- 3.2 Veritau has also been involved in carrying out a number of other assignments for the directorate which has included:
- Providing ad-hoc advice on various control issues.
  - Auditing and certifying a number of grant returns such as the Local Transport Plan, the Local Enterprise Partnership (LEP) Growth Hub and Local Authority Bus Subsidy Grant, plus Covid-19 related support such as the Bus Service Support Grant and the Additional Dedicated Home to School Transport grant. For each grant we review relevant supporting

information to ensure expenditure has been incurred in accordance with the scheme conditions.

- Specific matters raised via the Council's 'whistleblowing' policy

3.3 Routine assurance work within the directorate has been limited due to local government reorganisation (LGR). This is because internal audit work is being focused on other areas (for example the Council's governance arrangements and key financial systems) and to avoid placing any additional burden on service areas at this time. As a result, no audit reports have been finalised during the period. However, assurance work has been planned for Q3 and Q4 of 2022/23. This work will cover the following areas:

- Highways, in particular Ringways closedown and new contract performance management systems. This will allow us to review a full year of operations by NY Highways (the new contract went 'live' on 1 June 2021)
- Supporting the devolution project team to develop the detailed financial model for the Mayoral Combined Authority.
- A review of the invoicing and payment systems relating to the Allerton Waste Recovery Plant contract.

3.4 It is important that agreed actions are formally followed up to ensure that they have been implemented. Veritau follow up all agreed actions on a regular basis, taking account of the timescales previously agreed with management for implementation. On the basis of the follow up work undertaken during the period, the Head of Internal Audit is satisfied with the progress that has been made by management to implement previously agreed actions necessary to address identified control weaknesses.

#### 4.0 **RECOMMENDATION**

4.1 That Members note the results of internal audit work performed in the period for the Business and Environment Services Directorate.

MAX THOMAS  
Head of Internal Audit

Veritau Ltd  
County Hall  
Northallerton

5 October 2022

## **BACKGROUND DOCUMENTS**

Relevant audit reports kept by Veritau.

Report prepared by Stuart Cutts, Assistant Director – Audit Assurance, Veritau and presented by Max Thomas, Head of Internal Audit, Veritau

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## North Yorkshire County Council

### Audit Committee

24 October 2022

#### Internal Control Matters for the Business and Environmental Services Directorate

##### Report of the Corporate Director – Business & Environmental Services

### 1.0 Purpose of the report

- 1.1 To provide an update to members of progress against the areas for improvement identified through internal procedures.
- 1.2 To provide details of the latest Risk Register for the Business and Environmental Services (BES) Directorate.

### 2.0 Background

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within the County Council. In relation to the BES Directorate, the Committee receives assurance through the work of internal audit (detailed in a separate report to the Committee) and the Directorate Risk Register.
- 2.2 To ensure governance and internal control matters are monitored on an on-going basis the BES Management Team receives and considers a report quarterly.

### 3.0 Directorate Update

#### The main areas of note for the Directorate are:

- 3.1 The impact of COVID-19 has been extensive and whilst it is too significant to ignore for this report, it is not covered in great detail and the section below includes reference to the impact and response by each service in the Directorate at a relatively high level. In the post-Covid environment, wider economic factors such as the rising levels of inflation in the UK increasing the cost of materials and salaries impacts the Directorate directly and also through the supply chain. The main contributors continue to be in the costs of labour, energy and materials.

- 3.1.1 In addition, the focus of the Directorate is also necessarily on implementing Local Government Reorganisation, setting up the new North Yorkshire Council ahead of vesting day on 1 April 2023. Work in this area has significantly increased during the year and will continue through vesting day and beyond. More details are included in section 3.7 below.

#### Highways & Transportation

- 3.2 The key focus for the highways service was to deliver as close to a business as usual service as possible throughout the pandemic whilst also providing traffic management and safe access to local public spaces. Most of these measures are no longer needed and have been removed.

- 3.2.1 Support to North Yorkshire Highways (NYH), as the front-line delivery agency – to help ensure staff on the ground continue to be able to operate in a relatively low risk & safe environment which is critical in making sure the roads in North Yorkshire are open to travel. Looking ahead and, as we approach the winter period, the service once again has prepared for a possible further wave of COVID-19 coupled with poor weather. The service, working closely with suppliers including NYH, continue to

review business continuity & service resilience plans. Rising materials costs across the sector are creating significant pressures on service delivery and this includes the programme of planned capital maintenance schemes which are being managed through the rolling three year approach but this will inevitably mean that some schemes will be reprogrammed for a later date and a reduced surface dressing programme will be carried out in 2023/24.

### **Waste Management**

3.3 On behalf of NYCC, Yorwaste are contracted to provide Household Waste Recycling Centre (HWRC) services and as well as the waste transfer operations. Overall Yorwaste pay health & safety of staff particular regard, having recently been certified ISO45001 (Integrated HSE management system), the company is now working towards British Safety Council 5 Star Audit. At a service specific level, whilst site staff at HWRCs receive the appropriate level of training on a regular basis, recent attention has been given to conflict resolution in situations where members of the public can become agitated (normally when they are advised disposal of certain types of material are chargeable). The training has been delivered in conjunction with Council staff and has been well received, the feedback is Yorwaste staff are now more confident in dealing with those difficult situations.

3.3.1 For waste transfer station operations, focus over the last year has been on improving site monitoring to help reduce the risk of fire. Through local & remote thermal CCTV, Yorwaste staff can monitor the temperature of waste in every transfer station and take action as necessary. The fire suppression systems at each site have also been improved such that water deluge is automatically activated should a fire break out. This action has been instigated to help reduce insurance premium as well as risk.

### **Integrated Passenger Transport (IPT)**

3.4 The Transport Team within IPT covers three main areas of travel: home to school transport, health and adult services and public transport.

3.4.1 Service delivery across all areas continues to be difficult as the bus industry tries to cope with the many issues that the pandemic and subsequent economic situation has thrown up. In the public transport sector, passenger numbers are down across the country as a whole and are slow to improve. Whilst DfT grants have been provided to the Council and bus operators to assist with the shortfall in revenue, the current economic climate is forcing difficult decisions to be made and services are being lost in some parts of the county on a regular basis.

3.4.2 In the Home to School transport sector, we continue to see the loss of a few key smaller providers as they struggle to secure drivers and deal with the increased costs in relation to staff pay, fuel, parts and maintenance. Temporary price increases have been agreed in some circumstances to support providers, through NYCC's Supply Chain Resilience Board. Several operators have requested termination of their contracts as they are no longer financially viable and where new prices are being sought for transport we are seeing huge increases in daily prices leading to increased pressure on the budget.

### **Fleet and Operations**

3.5 The asset management and maintenance of fleet items has been improved by the introduction of a fleet management system in 2021. This system is shared between NYCC and NY Highways and will also be deployed across the new Council prior to vesting day. The procurement of fleet items is centralised in the fleet management section and is completed in association with the Procurement and Contract Management Team. The section is developing an approach to alternative fuel vehicles.

- 3.5.1 The Operations team deliver approximately 135 services in-house for Health and Adult Services and for other directorates where there is no commercial alternative or no best value alternative. The drivers and passenger assistants are subject to a robust selection, induction and training framework to manage the operational risk of supporting vulnerable passengers as well as the general public. The vehicles are operated on transport permits but the standards of maintenance and management are close to Operator Licence standards so to ensure the safe and compliant operation of the service.
- 3.5.2 The current inflationary environment is creating some significant supply chain pressures. Many contracts are indexed and we will expect to see significant uplifts in future years as inflation filters through. However some areas of the supply chain are more pressed in the short-term and some additional areas of support are proposed as set out below in paragraphs 3.3.7 above. The Council continues to scrutinise market requests for additional financial support through the Supply Chain Resilience Board. This ensures that strong contract management is in place and identifies those areas of greatest financial distress.

### **Economy & Business**

- 3.6 The North Yorkshire and UK economy continues to face significant challenges due to strong negative headwinds. These include rising inflation and interest rates, supply-chain issues, and reducing consumer and business confidence. These challenges to a large degree are linked to external factors such as the continuing impact of Covid on the global economy, the impacts of the war in Ukraine on supply-chains and energy costs, but are also impacted by other factors such as the recent political changes in the UK, and their impact on national economic policy, which has impacted on confidence in the wider markets.
- 3.6.1 NYCC plays a key role, helping to protect jobs and stimulate the economy, working with the district/boroughs, the LEP and other key partners. Close collaborative working has taken place over the last year to prepare for the new North Yorkshire Council and to ensure that North Yorkshire continues to be 'open for business'. This includes ensuring that positive momentum is maintained across the wide range of economic development, regeneration, tourism and inward investment work taking place across North Yorkshire. NYCC also played a central role in negotiating the Devolution Deal for York & North Yorkshire which offers significant additional powers, flexibilities and funding. This can deliver a step-change in helping North Yorkshire to address current challenges and reach its full economic potential.
- 3.6.2 Finally, staff in the Directorate had to accommodate a different way of working and – through the support of technology – moved nearly entirely to home based operation (excepting front-line staff). As restrictions have now been lifted, the Directorate, like the rest of the Council, continues to explore and trial new ways of working and what a 'new normal' looks like, with a blend of office based and remote working. This is working well.

### **Local Government Reorganisation (LGR)**

- 3.7 Capacity and prioritisation continue to be significant issues in the Directorate, particularly in light of the challenges presented by Local Government Reorganisation. The Directorate is playing a key role in this fundamental Council initiative to set up the new North Yorkshire Council and is involved in / leading several workstreams all of which are working to ensure all necessary arrangements for each service are in place for vesting day on 1 April 2023 including appropriate governance arrangements. The BES Directorate is principally involved in the following workstreams:
- Waste, Highways, Parking and Streetscene
  - Planning
  - Economic Development



- 3.7.1 To ensure appropriate governance and decision making processes are in place, all workstreams adhere to established and agreed decision making levels.

### **Establishment of a Mayoral Combined Authority**

- 3.8 The Devolution deal with Government was announced on 1 August 2022. Work is now progressing in creating the York and North Yorkshire Combined Authority through the required legislative process. A governance review has been undertaken and approved by the NYCC Executive. The City of York Council are progressing the approval of the governance review by taking through their Overview & Scrutiny Committee, Executive and Full Members.

- 3.8.1 Following the governance review period, the public consultation on the establishment of the Combined Authority will commence. Once complete, any changes to the proposal reflecting on public opinion will be passed back through the respective Local Authorities for re-approval. A joint-committee between North Yorkshire and City of York will be established as a “shadow board” to oversee progress and decision-making in moving the creation of the Combined Authority forward.

- 3.8.2 The York and North Yorkshire Local Enterprise Partnership will become an integral part of the new Combined Authority. To that end, Government requires the LEP to produce an integration plan outlining what the voice of business will look like in the Combined Authority, what projects/programmes/assets will novate to the Combined Authority, what the TUPE arrangements are and what the transition timescale is. A first draft of this was shared with LEP Board at the 23 September 2022 meeting, although this will continue to be a work in progress as further development takes shape.

- 3.8.3 With regard to the current operation of the LEP, it was assessed as meeting the standards required by Government across Governance, Delivery and Strategy following the Annual Performance Review in January 2022. All requirements of the 2018 LEP Review set out by Government have been met. The target of 50/50 Male/Female Board Member representation by March 2023 is already met.

- 3.8.4 The dormant company created in July 2020 to enable the LEP to have a legal personality will be dissolved upon the creation of the Combined Authority.

### **North Yorkshire Highways**

- 3.9 The Company launched successfully on 1 June 2021 and over the last 16 months has been updating and refining governance and internal control processes to ensure they are robust and fit for purpose for the new organisation. The company has recently appointed a company secretary from First North Law, to advise, monitor and maintain governance in respect of investment, operational and financial decisions.

- 3.9.1 The Company has been set up to ensure it has appropriate legal status: a Board of Directors with balanced composition, including an independent Non- Executive Director as Chair of the Board; Articles of Association established and approved to ensure the governance around decision making of the Company and its shareholder, NYCC are understood; Contract management in respect of the contract between NYH and NYCC; Policies and Procedures including Finance and Procurement rules and Scheme of Delegation signed off. A range of “Reserved Matters” which are decision making requirements that require NYCC shareholder sign off are reviewed annually and are audited by First North Law.

- 3.9.2 During the year, an updated Business Plan following the first year of operation has been signed off by both the company Board and the Shareholder setting out the direction for the future and long term business commitments. This business plan is subject to an annual refresh, vital given current market forces and high inflation concerns.

- 3.9.3 It is recognised that people are an integral part of how the service operates and so there has been a focus on ensuring staff feel engaged. The initial TUPE process, although complex, went well and in addition, a restructure of the business is underway removing inconsistent, inefficient area based activity into a task based structure to increase productivity and efficiency and work towards ensuring the culture of the organisations are aligned. This restructure should be implemented by Autumn 2022. The new structure coincides with bringing to an end long-term complex terms and conditions held by former Ringway staff and futureproofs employee legal status.
- 3.9.4 Work is ongoing with IT Infrastructure, finance, procurement and other support services to ensure the supporting infrastructure which enables the business to operate is available and working appropriately. The current task is to refine processes through 'lessons learnt' from year 1, following the 'lift & shift' of the operation, where NYCC looked to replicate the services provided by Ringway Head Office as far as possible through a range of SLA'd services, subject to the same governance as through the company Board and direct support/provision from NYCC teams. This work aligns with the company restructure by simplifying the accounting structure, increasing accuracy and allowing for more appropriate, well informed management by exception.

### **Capital Programme**

- 3.10 Whilst this is identified separately within the Directorate Risk Register there are key items of note:
- 3.10.1 Construction costs and tender prices are a significant risk at the current time and so projects will continue to be carefully monitored to assess the potential for inflation pressures in the construction market to impact on the delivery of the Capital Programme. This has been particularly highlighted following recent tenders, eg A59 Kex Gill Diversion which highlighted the impact that volatile market conditions have had on tender pricing. Funds have been earmarked for general price rises that could be applied, should the need arise, or else programmes will potentially have to be curtailed.
- 3.10.2 As previously reported, best practice for capital management is to utilise a method called "overprogramming". Whilst this could be considered 'business as usual' for the service, Audit Committee should be aware of the associated risks and what governance is in place to help mitigate them. In short, the service programme to spend more than the capital budget allocated in the financial year on the basis that typically some schemes are delayed for a variety of reasons, overprogramming therefore improves the likelihood of spending on budget but at the risk of overspending. The Capital Projects Board monitor this practice on a monthly basis taking intervention as appropriate. The position is the reported to Executive through the Capital Plan and quarterly forecast updates.

## **4.0 Directorate Risk Register**

- 4.1 The Directorate Risk Register (DRR) is the end product of a systematic process that identifies risks at Service level, and then aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.
- 4.2 The Risk Prioritisation System used to derive all risk registers across the Council categorises risks as follows:
- Category 1 and 2 are high risk (RED)
  - Category 3 and 4 are medium risk (AMBER)

- Category 5 is low risk (GREEN)
- 4.3 These categories are relative and not absolute assessments. The DRR represents the principal risks being managed in BES that may materially impact on the performance, financial and reputational outcomes of the Directorate as a whole in the year.
- 4.4 A summary of the DRR is also attached at **Appendix A**. As well as providing a quick overview of the risks and their ranking, it also provides details of the change or movement in the ranking of the risk since the last review in the left hand column.
- 4.5 The latest detailed DRR is shown at **Appendix B**. This shows a range of key risks and the risk reduction actions designed to minimise them together with a ranking of the risks both at the present time and after mitigating actions.
- 4.6 A review of the BES DRR took place at the end of September 2022 and has been signed off by the Corporate Director and Management Team.
- 4.7 The key amendments that have been made to the DRR since October 2021 (date of last progress report to the Committee) are as follows:-
- 4.7.1 Deleted risk
- Minerals and Waste Joint Plan – the Joint Plan has been completed and agreed. As this risk no longer exists it has been deleted from the register.
- 4.7.2 New risks
- Passenger Transport Market Resilience – this risk has been added at this level due to the difficulties facing transport contractors such as increased fuel costs and the consequent reduced commerciality of routes and current market pressures.
  - Brierley Homes Ltd – this risk has been added as the uncertainty around increases in house building costs and supply chain issues continue. Although the second ranking of this risk is 4, it is considered a high amber risk following the reduction actions.
- 4.7.3 Key changes to risks
- Long Term Waste Service Strategy – this risk continues to review the Government Resources and Waste Strategy and network groups help to shape the next level of legislation.
  - Growth – an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan has been carried out, and the spatial framework is now available on line.
  - Major Schemes and NY Highways – these risks have both reduced in their ranking within the register.
  - Devolution – this risk has been significantly altered since the announcement and now focusses on Devolution opportunities and ensuring a link with Local Government Reorganisation.

## **5.0 Recommendations**

### 5.1 That the Committee:

- i) Note the Directorate update salient points; and
- ii) Note the Directorate Risk Register for the Business & Environmental Services Directorate; and
- iii) Provide feedback and comments on the Directorate Risk Register and any other related internal control issues.






KARL BATTERSBY  
Corporate Director – Business & Environmental Services

Report prepared by Vicki Dixon

Risk Register: **Month 0 (Aug 2022) – summary**  
 Next Review due: **February 2023**  
 Report Date: **5<sup>th</sup> October 2022 (pw)**




Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
- new -	7/260 - Passenger Transport Market Resilience	Failure to support improved transport contractor resilience in the face of lower subsidies, reduced commerciality of routes and the impacts of Covid and current market pressures resulting in significant loss of services and pressure to find additional funding to maintain/takeover services	CD BES	BES AD TE&CS	H	L	M	H	M	1	7	31/12/2022	H	L	M	H	M	1	Y	BES AD TE&CS
◀ ▶	7/175 - Delivering Change Programmes within BES	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement programmes of change in BES e.g. Local Government Reorganisation, implications of the establishment of a Mayoral Combined Authority, new ways of working with NY Highways and the BES Transformation Programme. This could result in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.	CD BES	BES MT	M	H	H	H	M	2	9	31/03/2023	L	M	M	H	L	3	Y	CD BES
Page 66 ▶ ▶	7/18 - Long Term Waste Service Strategy	Failure to further develop the long term waste service strategy (including Resources and Waste Service Strategy, LGR, total system efficiency, realisation of commercial opportunities through increasing recycling, reducing residual household waste, maximising potential through flexibility and reconfiguration to take advantage of opportunities through changes in market conditions, changes in waste composition and changes in consumer behaviour) following delivery of AWRP results in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP	CD BES	BES AD TE&CS	M	L	H	L	H	2	4	31/03/2023	L	L	H	L	M	3	Y	CD BES
▶ ▶	7/24 - Capital Programme	Ineffective management of capital programme including any major project and LTP capital programme leads to significant overspend/underspend, weak use of resources, loss of reputation and non-achievement of the desired outcomes re delivery of the programme and effective management of asset.	CD BES	CSD AD SR (VD)	M	M	H	M	M	2	11	31/07/2023	L	M	H	M	M	3	Y	CD BES

Risk Register: **Month 0 (Aug 2022) – summary**  
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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		
	<b>7/232 - Growth</b>	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure whilst protecting the outstanding environment and heritage and working with the emerging devolution deal. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.	CD BES	CSD AD SR (VD) BES AD GP&TS	M	H	H	H	M	2	6	31/03/2023	L	H	H	H	L	3	Y	BES AD GP&TS
<b>- new -</b>	<b>7/259 - Brierley Homes Ltd</b>	Failure to maintain or increase business development building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL to provide a consistent pipeline and compete effectively in an open market.	CD BES	BES AD GP&TS	H	L	M	L	M	2	7	30/09/2022	M	L	M	L	M	4	Y	BES AD GP&TS
<b>Page 67</b> 	<b>7/189 - Major Schemes</b>	Failure to deliver the programme of major transport schemes resulting in impact on the county council's growth plan and negative impact on national and regional partner relations.	CD BES	BES AD H&T	L	M	H	L	M	3	5	31/07/2023	L	M	H	L	H	3	Y	BES AD H&T
		<b>7/23 - Major Incident and Business Continuity</b>	Failure to plan and respond effectively to a major incident without major impact upon routine service performance or longer term impact on service delivery. Such incidents may include animal health disease, flooding and other severe weather, Service breakdown including critical resources (eg property, people and ICT) resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to critical services.	CD BES	CD BES	L	M	H	H	M	3	6	31/03/2023	L	M	H	H	M	3	Y
	<b>7/7 - Statutory Duties</b>	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.	CD BES	CD BES	L	M	M	M	H	3	7	30/09/2023	L	M	M	M	H	3	Y	CD BES
	<b>7/247 - NY Highways</b>	Failure to ensure the arrangements for highways maintenance services in place are performing as required with the desired flexibility and not resulting in service disruption, increased costs and criticism	CD BES	BES AD H&T	L	H	H	H	H	3	8	31/07/2023	L	H	H	H	H	3	Y	NYH Comm Mgr

Risk Register: **Month 0 (Aug 2022) – summary**  
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Identity			Person		Classification											Fallback Plan				
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
- new -	7/174 - Devolution Implementation in North Yorkshire (corporate view)	Failure to successfully implement Devolution results in loss of opportunities for North Yorkshire	CD BES	CD BES	L	M	H	M	H	3	4	30/09/2022	L	L	H	L	M	3	Y	BES AD EPU

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

Risk Register: **Month 0 (Aug 2022) – detailed**  
 Next Review due: **February 2023**  
 Report Date: **5<sup>th</sup> October 2022 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	7/260	<b>Risk Title</b>	7/260 - Passenger Transport Market Resilience				<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD TE&CS	
<b>Description</b>	Failure to support improved transport contractor resilience in the face of lower subsidies, reduced commerciality of routes and the impacts of Covid and current market pressures resulting in significant loss of services and pressure to find additional funding to maintain/takeover services					<b>Risk Group</b>	External market	<b>Risk Type</b>	TE&CS 14/8		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Effective liaison; market intelligence; support if required; financial checks on key suppliers; commercial sector service development manager appointed; contractor relief payments made throughout Covid period; Transport board to ensure directorate awareness of issues;								
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	10/379 - Continue to use market intelligence and increased commerciality to monitor and resolve contractor issues;						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	10/625 - Annual review of operator processes and procedures as part of compliance team visits with follow up actions where necessary. ongoing						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	10/662 - Carry out review of public transport network including community transport and present to Mgt Board; YorBus DR pilot has been extended for 12 months						BES TE&CS HoTS	Sat-31-Dec-22			
<b>Reduction</b>	14/210 - Complete continuity plan re key contractor loss including any lessons learned from Covid; ongoing part of service BCP docs (ensure adequate resilience in the OPS team to respond to market failure)						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	14/398 - Hold liaison meetings with key contractors regarding their viability and commerciality when necessary						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	14/448 - Continue to administer DFT covid relief fund						BES TE&CS HoTS	Fri-31-Mar-23			
<b>Reduction</b>	14/522 - Transport board to ensure directorate awareness of issues						BES TE&CS HoTS	Mon-31-Jul-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	I
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	10/122 - Seek funding; alternative operators known; consider in-house provision								BES AD TE&CS		



Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 1 - Identification											
<b>Risk Number</b>	7/175	<b>Risk Title</b>	7/175 - Delivering Change Programmes within BES					<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES MT
<b>Description</b>	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement programmes of change in BES e.g. Local Government Reorganisation, implications of the establishment of a Mayoral Combined Authority, new ways of working with NY Highways and the BES Transformation Programme. This could result in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.						<b>Risk Group</b>	Change Mgt	<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Chief Executive webinars on LGR; corporate communications on Devolution; staff events with NY Highways; staff involvement in LGR working groups; CD BES Staff Updates; reps on Transformation theme; key messages; cascade of Transformation vision and approach; regular AD updates provided on Transformation themes; quarterly performance monitoring at BES MT; quarterly MTFs savings monitoring at BES MT; political agreement and acknowledgement of risks; BES MT engagement on budget; regular reporting on Transformation Infrastructure theme at BES MT; staff survey outcomes implemented as and when necessary; ideas generation and review process established; regular reporting on customer based theme on change at BES MT; AD surgeries and staff engagement sessions in place following Staff Survey;								
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/93 - Continue communication/engagement arrangements with staff on Transformation Programme (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/260 - Continue to monitor impacts of Transformation Infrastructure theme (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/265 - Promote and embed cultural change through key messages, KITs, manager and non-manager objectives, regular reporting on progress of change projects and impacts of daily operations on delivery of aims (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/450 - Continue to provide the support to innovate new ideas to contribute to the MTFs (ongoing)						CSD AD SR (VD)	Sat-30-Sep-23			
<b>Reduction</b>	7/451 - Ensure appropriate allocation of resources to deliver change projects (ongoing)						CSD AD SR (VD)	Sat-30-Sep-23			
<b>Reduction</b>	7/612 - Ensure effective engagement in the LGR change programme including Chief Executive webinars and workstream briefings to staff						BES MT	Fri-31-Mar-23			
<b>Reduction</b>	7/613 - Consider and respond to any issues arising from the Staff Survey 2021						BES MT	Fri-31-Dec-21	Mon-31-Jan-22		
<b>Reduction</b>	7/1502 - Ensure effective communications in relation to the establishment of a Mayoral Combined Authority						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1959 - Continue NY Highways staff engagement events						BES AD H&T	Sat-30-Sep-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	L	<b>Category</b>	3

Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	7/539 - Review approach to the delivery of change programmes and cultural change management within BES	CD BES

Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 1 - Identification											
<b>Risk Number</b>	7/18	<b>Risk Title</b>	7/18 - Long Term Waste Service Strategy					<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD TE&CS
<b>Description</b>	Failure to further develop the long term waste service strategy (including Resources and Waste Service Strategy, LGR, total system efficiency, realisation of commercial opportunities through increasing recycling, reducing residual household waste, maximising potential through flexibility and reconfiguration to take advantage of opportunities through changes in market conditions, changes in waste composition and changes in consumer behaviour) following delivery of AWRP results in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP						<b>Risk Group</b>	Performance	<b>Risk Type</b>	W&CS 14/168	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Waste Strategy in place; NYCC/CoY/Yorwaste working group in place; AWRP; consultants advising on systems; intelligence through networking; network of waste transfer stations; access to external advisors; Contract Management Manual/Register of Obligations; suite of monitoring documents in place; Project Board in place; monthly project team meetings; S106 and S278 delivery arrangements in place; network of Amey Cespa clients; monthly compliance monitoring check; existing contracts in place; extensive modelling; agreement for Teckal; feasibility with consultants and modelling of opportunities of single system for waste and incentive for reduced residual waste bin capacity completed; Single System project identified as high priority; agreement on settlement of disputes relating to first contract year; new head of service appointed; YNY Waste Partnership (to include transition through LGR), paper on Resources and Waste Service Strategy, business case for a single system for waste following introduction of legislation produced; response provided for Extended Producer Responsibility/Deposit Return Scheme consultations;								
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
<b>Reduction</b>	7/377 - Continue to review Government Resources and Waste Strategy including food waste collections, and engage with Government through network groups to help shape the next level of legislation. Continue to assess impacts and opportunities. ongoing						<b>Action Manager</b>	BES TE&CS HoS(W)	<b>Action by</b>	Mon-31-Jul-23	<b>Completed</b>
<b>Reduction</b>	7/419 - Develop proposals for separate food waste collections and consistent recycling as required by the new legislation and LGR (ongoing); countywide WRAP exercise to see how we collect waste at the kerbside, legal review of AWRP contract )						<b>Action Manager</b>	BES TE&CS HoS(W)	<b>Action by</b>	Fri-31-Mar-23	<b>Completed</b>
<b>Reduction</b>	7/439 - Work with North Yorkshire Waste Forum to achieve an effective waste management function, through actions including staff engagement and regular quality meetings						<b>Action Manager</b>	BES AD TE&CS	<b>Action by</b>	Fri-31-Mar-23	<b>Completed</b>
<b>Reduction</b>	14/578 - Continue to monitor Amey's progress against their improvement plan targets - ongoing						<b>Action Manager</b>	BES TE&CS WCM	<b>Action by</b>	Mon-31-Jul-23	<b>Completed</b>
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	7/73 - Rely short term on recently procured arrangements, review strategy, media management									<b>Action Manager</b>	CD BES

Risk Register: **Month 0 (Aug 2022) – detailed**  
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 Report Date: **5<sup>th</sup> October 2022 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	7/24	<b>Risk Title</b>	7/24 - Capital Programme				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CSD AD SR (VD)	
<b>Description</b>	Ineffective management of capital programme including any major project and LTP capital programme leads to significant overspend/underspend, weak use of resources, loss of reputation and non-achievement of the desired outcomes re delivery of the programme and effective management of asset.					<b>Risk Group</b>	Financial	<b>Risk Type</b>	H&T 9/195		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Project management - regular financial and project planning, monitoring and reporting of the projects; risk assessment for major schemes; project management training for key BES staff; PIR of major projects; lessons learnt/implemented; Programme management - operational and strategic programme management/monitoring and reporting through NYH, H&T and BES management structures and Executive Members, reporting through NYH; risk assessment carried out in Capital Plan reports feed into MTFS; highways capital programme resource / manager to drive delivery of the programme implemented; Schemes portal; 3 year rolling works programme with realistic targets and alignment of internal and external delivery resources; specific monitoring of separately funded capital works; LEAN review of Capital Programme completed; introduction of efficiency measures for capital projects and programmes where relevant; lessons learnt/implemented; external review of capital programme carried out; Highways Maintenance Investment tool being used; Governance – Gateway training carried out; Capital Projects Board in operation; sub group of Capital Projects Board in place when required; Full Capital Plan meetings at appropriate times; NYH Board; Finance Officer support to Capital; risk register for major schemes and schemes in the capital works programme; project board for major schemes; Infrastructure Delivery Working Group; Development Management Working Group; assurance framework for LEP in place, contract management health measurement and reporting in place; substantial assurance audit report; implementation of forward programme of planned maintenance, three year rolling delivery programme in place;								
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/427 - Ensure effective delivery of the Transforming Cities Fund (TCF) project in Skipton, Harrogate and Selby working with District Councils and within the WYCA governance arrangements (project end March 2023); TCF project manager appointed						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1504 - Monitor impact of the reduction in the 2021/22 capital programme in comparison with the previous forecast and consideration of budget and programme scenarios ahead of future years' LTP budget allocation; confirmed settlement in place through to 24/25, but no annual inflationary uplift						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1967 - Active involvement in NYH post Go Live to ensure processes and procedures are working properly and are fit for purpose						BES AD H&T CSD AD SR (VD)	Mon-31-Jul-23			
<b>Reduction</b>	7/1968 - Active forward planning by the service to ensure it is agile and has the ability to respond to funding announcements quickly and appropriately that arise at short notice and / or late in the financial year; with three year delivery programme						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1973 - Capital update meetings to ensure programme on track						BES H&T HoNS CD BES CSD AD SR (VD)	Mon-31-Jul-23			
<b>Reduction</b>	7/1974 - Monitoring of the national environment re price and delivery times to ensure the service can react in a timely manner to changes; the collaborative arrangement with NYH allows us to look at internally and externally at NYH and wider costs						BES AD H&T	Mon-31-Jul-23			

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<b>Reduction</b>	9/353 - Need for LTP capital programme process mapping session, followed later by a LEAN review; has commenced, led by NYH comm servs team	BES AD H&T	Mon-31-Jul-23									
<b>Reduction</b>	9/355 - Regular weekly meetings between H&T, Procurement and NYH teams to ensure NYH programme delivery	BES AD H&T	Mon-31-Jul-23									
<b>Reduction</b>	9/472 - Ensure effective engagement with Veritau and suitable post audit responses are produced following reviews of different aspects of capital programme	BES H&T HoNS	Mon-31-Jul-23									
<b>Reduction</b>	9/551 - hNY Improvement Action Plan including continuous improvement within the service	BES H&T HoNS	Mon-31-Jul-23									
<b>Reduction</b>	9/554 - Scoping potential for corporate funding request to make up balance on planned maintenance (for consideration)	BES H&T HoNS	Mon-31-Jul-23									
<b>Phase 4 - Post Risk Reduction Assessment</b>												
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	3	
<b>Phase 5 - Fallback Plan</b>												
<b>Fallback Plan</b>	7/72 - Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board										<b>Action Manager</b>	CD BES

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Phase 1 - Identification											
<b>Risk Number</b>	7/232	<b>Risk Title</b>	7/232 - Growth				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CSD AD SR (VD) BES AD GP&TS	
<b>Description</b>	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure whilst protecting the outstanding environment and heritage and working with the emerging devolution deal. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	GP&TS 13/233		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in LGNY 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); Devolution deal provisionally agreed subject to public consultation								
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/1958 - Continue to embed enhanced collaborative working arrangements with District Councils (annual review of progress and developed a pipeline of strategic projects to work together on.) – ongoing with regular review of resources needed to deliver projects						BES AD GP&TS	Fri-31-Mar-23			
<b>Reduction</b>	7/1960 - Maintain good working relationship with the LEP (including work to align LEP funding initiatives with Council Initiatives and with the Directors of Development master planning funding, Coordinated devolution asks. Carbon abatement pathways, local energy action plans) (ongoing)						CD BES	Thu-31-Aug-23			
<b>Reduction</b>	7/1961 - Continue to understand and investigate any impacts of new legislation and funding streams, impacts of change from CAP to ELMS payments in agriculture being monitored; ex EU Funding now becoming UK funding streams eg. CRF, levelling up and Shared Prosperity Fund						BES AD EPU CD BES	Thu-31-Aug-23			
<b>Reduction</b>	13/532 - 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; action plan produced; govt legislation through environment act and devolution ask						BES AD GP&TS	Thu-31-Aug-23			
<b>Reduction</b>	13/533 - Continue to monitor the Devolution agreement and communication with stakeholders to maximise opportunities (ongoing); the York/NY geography is being used in some areas of growth work (ongoing)						BES AD GP&TS	Thu-31-Aug-23			
<b>Reduction</b>	13/602 - Take part and lead on technical aspects relating to the Natural and Historic Environment and implement necessary strategy and delivery relating to biodiversity, local nature recovery and climate change mitigation						BES AD GP&TS	Thu-31-Aug-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	L	<b>Category</b>	3

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Phase 5 - Fallback Plan		Action Manager
Fallback Plan	7/551 - Review and revise existing arrangements for sustainable economic growth	BES AD GP&TS

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Phase 1 - Identification											
<b>Risk Number</b>	7/259	<b>Risk Title</b>	7/259 - Brierley Homes Ltd				<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD GP&TS	
<b>Description</b>	Failure to maintain or increase business development building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL to provide a consistent pipeline and compete effectively in an open market.					<b>Risk Group</b>	Competitive or Economic	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Construction manager and basic team in place (under development); Business strategy for various routes of delivery in place; Council services available; compliance with H&S policy and procedures; evaluation of contractors performance; evaluation of market values and influences for the supply chain; evaluation of market values and influences for land acquisition; governance service from Veritau; regular reports provided to NYCC;								
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/568 - Continue to monitor contractor performance through regular reporting and discussion to resolve issues					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	7/581 - Recruitment of project managers and administration manager to provide resilience					BES AD GP&TS	Mon-31-Oct-22				
<b>Reduction</b>	7/584 - Further discuss and agree extra Council Finance service resource					BES AD GP&TS	Fri-30-Sep-22				
<b>Reduction</b>	7/598 - Develop and implement a business plan in respect of resources to deliver strategies					BES AD GP&TS	Mon-31-Oct-22				
<b>Reduction</b>	7/614 - Develop and implement new procedures for an in house model of delivery					BES AD GP&TS	Sat-31-Dec-22				
<b>Reduction</b>	7/1962 - Continue to evaluate market values and influences for the supply chain;					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	7/1972 - Continue to evaluate market values and influences for land acquisition					BES AD GP&TS	Thu-31-Aug-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	4
Phase 5 - Fallback Plan											
						<b>Action Manager</b>					
<b>Fallback Plan</b>	7/567 - Further review and revise business model and escalate					BES AD GP&TS					



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Phase 1 - Identification											
<b>Risk Number</b>	7/189	<b>Risk Title</b>	7/189 - Major Schemes				<b>Risk Owner</b>	CD BES		<b>Manager</b>	BES AD H&T
<b>Description</b>	Failure to deliver the programme of major transport schemes resulting in impact on the county council's growth plan and negative impact on national and regional partner relations.					<b>Risk Group</b>	Performance		<b>Risk Type</b>	Dir Only	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Programme in place for delivery of County Council promoted schemes; support being provided to the third party scheme promoters; risk analysis for each scheme undertaken; effective engagement with LEP; Senior Transport Planning Officer (Transport projects) now in post to support the LEP and NYCC in delivery of SEP funded schemes; necessary local contributions secured for the schemes in the LEP programme that are being delivered (Mar 2021);								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/318 - Continue to engage with the wider strategic partnership and support them to manage risks associated with specific scheme programmes (ongoing)					CD BES	Mon-31-Jul-23				
<b>Reduction</b>	7/436 - Continue to ensure sufficient resource in H&T to effectively deliver County Council schemes (ongoing)					BES AD H&T	Mon-31-Jul-23				
<b>Reduction</b>	9/583 - Ensure NYCC identify appropriate sources of funding to support grant funding applications to demonstrate any partial match funding requirement					BES AD H&T BES H&T HoNS	Mon-31-Jul-23				
<b>Reduction</b>	9/585 - Continue to work closely with WSP (and where appropriate, Align Property Partners) to ensure that resources match programme of transport schemes requirements (ongoing)					BES AD H&T	Mon-31-Jul-23				
<b>Reduction</b>	9/900 - Understand pipeline opportunities medium to long term in order to maximise future LG changes in respect of Devolution combined authority status					BES AD H&T	Mon-31-Jul-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	3
Phase 5 - Fallback Plan											
										<b>Action Manager</b>	
<b>Fallback Plan</b>	7/537 - Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood									BES AD H&T	

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Phase 1 - Identification											
<b>Risk Number</b>	7/23	<b>Risk Title</b>	7/23 - Major Incident and Business Continuity					<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES
<b>Description</b>	Failure to plan and respond effectively to a major incident without major impact upon routine service performance or longer term impact on service delivery. Such incidents may include animal health disease, flooding and other severe weather, Service breakdown including critical resources (eg property, people and ICT) resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to critical services.						<b>Risk Group</b>	Performance	<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Leadership of BES Management Team and appropriate lead manager; work with other appropriate partners; appropriate major incident and emergency plans; inspection monitoring programmes; systems resilience & back up arrangements in place; business impact analyses and incident management plans are in place; disaster recovery plan; NYCC silver command exercises carried out; implementation of solutions based upon lessons learned from previous major incidents; BES RMG; biannual multi-agency training events; command structure / information flow for business continuity incidents finalised; emergency protocol agreed with Kier and Yorwaste in the event that sites to be open on days when they may otherwise be shut; critical infrastructure network in line with HMEP recommendations in place;								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/374 - Ensure that resources are flexible enough to manage unexpected major and business continuity incidents including Coronavirus (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/444 - Continually review procedures plans and training in relation to major incidents (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/446 - Annual live or desk top exercises to test plans, and including the incident and response and continuity plan with NY Highways (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/587 - Ensure sufficient capacity is present to be able to manage a major incident						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1970 - Consider recent significant natural events relative to the impact of climate change and plan accordingly						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1971 - Discuss BCP arrangements for critical services with Districts and identify potential gaps						BES AD H&T	Fri-31-Mar-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	7/75 - Review the plans, media management, advise Members								CD BES		

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Phase 1 - Identification											
<b>Risk Number</b>	7/7	<b>Risk Title</b>	7/7 - Statutory Duties					<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES
<b>Description</b>	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.						<b>Risk Group</b>	Performance	<b>Risk Type</b>	Dir Only	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Service plans; service unit risk registers; allocation of responsibility training for key staff; prof. bodies incl. HSE; CPD; CDM; RMWGs; routine inspecs; contractor selection proc; NYCC legal and safety advisers; annual contractor training; Designated Directorate H&S Manager and support; regular item on BESMT; SMTs; Partnership and contract managers group; Directorate H&S working group; risk assessment; incident feedback; previous risk assessment on most sites; landfill gas perimeter controls; annual review of all sites (monitoring results); regular monitoring; use of consultants; agency staff; documented proc; record of dec. actions; audit and review of proc/compliance, inspecs, actions and training; corporate policies, procedures and champions; services to employ sufficient numbers of professionally trained/qualified officers; prioritisation matrix for resources in place in Trad Stds; training relating to new CDM Regulations for construction work; Incident plan for former landfill sites;								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/458 - Ensure that the current H&S procedures are audited to ensure compliance (ongoing)					CD BES		Sat-30-Sep-23			
<b>Reduction</b>	7/459 - Review/monitor the H&S arrangements of Contractors and Partner organisations (ongoing)					BES AD H&T		Sat-30-Sep-23			
<b>Reduction</b>	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)					BES MT		Sat-30-Sep-23			
<b>Reduction</b>	7/462 - Review incidents and claims statistics including large losses and develop action plans (ongoing)					BES MT		Sat-30-Sep-23			
<b>Reduction</b>	7/483 - Continue to source and deliver relevant contracts to TS work to mitigate against budget cuts and maintain service resilience (ongoing)					BES AD GP&TS		Sat-30-Sep-23			
<b>Reduction</b>	7/1965 - Work closely with the Data Governance team in Strategic Support to review and update local information governance arrangements (ongoing)					BES MT		Sat-30-Sep-23			
<b>Reduction</b>	7/1966 - Continue to implement awareness raising campaign for information governance (ongoing)					BES MT		Sat-30-Sep-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3

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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	7/78 - Implement appropriate management and contingency plans; review priorities and reprioritise service delivery; media management	CD BES

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Phase 1 - Identification											
<b>Risk Number</b>	7/247	<b>Risk Title</b>	7/247 - NY Highways				<b>Risk Owner</b>	CD BES		<b>Manager</b>	BES AD H&T
<b>Description</b>	Failure to ensure the arrangements for highways maintenance services in place are performing as required with the desired flexibility and not resulting in service disruption, increased costs and criticism					<b>Risk Group</b>	Contracts		<b>Risk Type</b>	H&T 9/246	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Governance arrangements in place; ; initial operating model completed; NY Highways Managing Director appointed; governance framework in place, mobilisation plans in place, Company Board in operation; go live following risk reviews on all work streams achieved with Board sign off;								
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/580 - Continued close monitoring of the remaining procurement arrangements and timelines to ensure impact of any issues are understood and managed; need to develop and if necessary replace some of the procurement arrangements currently in place to increase efficiency; more robust contract management being introduced to improve analysis of contracts and replace where appropriate						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	7/588 - Ensure H&S is appropriately managed during the transition period and into the operational phase; H&S mobilisation plan produced to ensure that day one training and compliance is in place; some further H&S accreditation and training to complete; training needs assessed and training has taken place throughout the year; electronic near miss and accident reporting app has been rolled out; training matrix in place; SLA with NYCC training and learning						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/597 - Complete the mobilisation of the contract including staff implementation and understanding of acceptable working practice norms; need to continue recruitment to vacant posts, recognising current demand pressures around drivers; recruitment issues continue across all areas; new Ts and Cs agreed by mgt board						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/235 - Ensure monitoring and reporting arrangements are in line with agreed governance arrangements, to include close budget monitoring and adjustment where necessary						CD BES	Mon-31-Jul-23			
<b>Reduction</b>	9/561 - Put support service arrangements in place between NYCC and new company; need to produce next iteration of support service costed proposals based on information from operating model; SLAs to sign off; all SLAs now signed off and will be reviewed with a view to new or amended arrangements for coming years						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/567 - Develop the NYH operations manual including performance indicators; CPIs agreed and will be included along with operating procedures; now a rolling document to sit alongside the contract; ongoing						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/701 - Review financial position to ensure that true NYH costs are known and reported on; quarterly report going to board						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/702 - Trialling new ways of working and analysing outcomes swiftly to ensure that impact is known and acted upon.						NYH Comm Mgr	Mon-31-Jul-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3

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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	9/559 - Focus on under-performing areas with agreed remedial actions, if continued issues then options appraisal for service delivery	NYH Comm Mgr

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Phase 1 - Identification											
<b>Risk Number</b>	7/174	<b>Risk Title</b>	7/174 - Devolution Implementation in North Yorkshire (corporate view)				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES	
<b>Description</b>	Failure to successfully implement Devolution results in loss of opportunities for North Yorkshire					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	EPU 176/211		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		Programme management function in place; micro site set up for sharing information with the public;									
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	176/287 - Develop full implementation plan – Part 1 - complete the legal governance procedures to create a combined authority					BES AD EPU CSD ACE LDS	Tue-28-Feb-23				
<b>Reduction</b>	176/288 - Develop full implementation plan – Part 2 - implement the content of the devolution deal					BES AD EPU	Fri-31-May-24				
<b>Reduction</b>	176/289 - Develop full implementation plan – Part 3 - develop the combined authority organisational structure and associated functions					BES AD EPU	Wed-31-Jan-24				
<b>Reduction</b>	176/290 - Create Joint Committee to act as shadow combined authority					BES AD EPU CSD ACE LDS	Fri-30-Sep-22				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	176/566 - None								<b>Action Manager</b>		
									BES AD EPU		

**AUDIT COMMITTEE - PROGRAMME OF WORK 2022/23**

	ANNUAL WORKPLAN	MAR 22	JUNE 22	SEPT 22	OCT 22	NOV 22	DEC 22	MAR 23
	<b>Audit Committee Agenda Items</b>							
<b>A</b>	Training for Members (as necessary)	4	2	3	1			
	Annual Internal Audit Plan	x	x					x
	Annual report of Head of Internal Audit		x					
	Progress Report on Annual Internal Audit Plan	x			x			x
	Internal Audit report on Children and YP's Service		x					
	Internal Audit report on Computer Audit/Corporate Themes/Contracts						x	
	Internal Audit report on Health and Adult Services						x	
	Internal Audit report on BES				x			
	Internal Audit report on Central Services	x						x
<b>B</b>	Annual Audit Letter				x			
	Annual Audit Plan (NYCC & NYPF)							
	Annual Report / Letter of the External Auditor (ISA 260)					x		
	Interim Audit Report							
	External Audit Appointments from April 2023						x	
	External Audit Progress Update			x				
<b>C</b>	Statement of Final Accounts including AGS (NYCC + NYPF)			x		x		
	Letter of Representation			x				
	Chairman's Annual Report				x			
	Audit Committee - terms of reference / effectiveness		x					x
	Changes in Accounting Policies	x						x
	Corporate Governance – review of Local Code + AGS	x						x
	– annual report inc re AGS		x					
	Risk Management (inc Corporate R/R) – annual report						x	
	Partnership Governance – annual report					x		
	Information Governance – annual report	x						x
	Review of Finance,/Contract/Property Procedure Rules							
	Business Continuity – annual report					x		
	Counter Fraud Policy Framework						x	
	Counter Fraud strategy (inc risk assessment) – annual report		x					x
	Procurement and Contract Management – annual report						x	
	CIPFA FM Code						x	
	Treasury Management – Executive February	x						x
Commercial Review								
	VFM – annual assurance review		x					
<b>D</b>	Work Programme	x	x	x	x		x	x
	Progress on issues raised by the Committee (inc Treasury Management)	x	x	x	x		x	x
<b>E</b>	Agenda planning / briefing meeting							
	Audit Committee Agenda/Reports deadline							
	<b>Audit Committee Meeting Dates</b>	21/03	27/06	19/09	24/10	28/11	12/12	20/03

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- A = Internal Audit
- B = External Audit
- C = Statement of Final Accounts / Governance
- D = Other
- E = Dates

- ⊙ Meetings to be sorted
  - 1 Governance of External Companies (inc NY Highways) & Commercial Investments
  - 2 LGR Update – MTFs & Governance Issues
  - 3 Pensions Governance
  - 4



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