

NORTH YORKSHIRE COUNTY COUNCIL

CORPORATE & PARTNERSHIPS OVERVIEW AND SCRUTINY COMMITTEE

19 April 2021

NYCC CORPORATE RISK REGISTER

Report of the Corporate Director – Strategic Resources

1.0 PURPOSE OF THE REPORT

1.1 To receive details of the updated Corporate Risk Register.

2.0 BACKGROUND

2.1 The Corporate Risk Register (CRR) is fully reviewed every year and updated by the Chief Executive and Management Board in September/October. A six monthly review is then carried out in March/May.

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

3.0 CORPORATE RISK REGISTER

3.1 An annual update of the Corporate Risk Register was carried out in November last year – see attached at **Appendix A**. This involved reviewing the risks, risk controls, risk reductions and risk rankings that had been identified for each of the risks and making amendments to the Register where necessary.

3.2 Since the last report to this Committee in March 2020, 2 reviews and updates of the Corporate Risk Register have been carried out. There have been changes made at both reviews – see attached at **Appendix A**. The updates involved reviewing the risks, risk controls, risk reductions and risk rankings that had been identified for each of the risks and making amendments to the Register where necessary.

3.3 At the annual review in November, we also reviewed and revised the corporate financial impact thresholds/risk appetite of the Council. In the present financial climate and Council's landscape of activities it seemed appropriate to increase them. The financial thresholds/risk appetite have/has changed as follows:

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

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

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

3.5 New Risks

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

3.6 Deleted Risks

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

3.7 Significantly Changed Risks

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

3.8 With regard to the remaining risks, the EU Exit risk was reduced on its 2nd ranking and the Significant Incidents risk has gone up on its 1st ranking to reflect the response to the Coronavirus. The rankings of all the remaining risks stayed the same (as shown on the summary in the left hand column of Appendix A). Please see the table at the bottom of Appendix A for an explanation of the left hand column.

3.9 To assist Members interpret **Appendix A**

- Risks are identified by Management Board during a prep meeting and further discussion
- Each risk has then to be ranked based on the following:
 - existing risk controls in place
 - probability of the risk occurring (based on existing controls)
 - impact of the risk occurring (based on existing controls)
 - further risk controls which may reduce current probability or impact
 - The prioritisation system follows a fairly traditional risk evaluation approach in that the **probability** and **severity** of risks is measured using High, Medium and Low categories
 - However, to facilitate the assessment of the risk appetite and severity of each risk this is done in relation to 4 distinct **impact areas**:-
 - failure to meet key **service objectives** and standards – reflecting current service plans

- **financial** impact
- **service** delivery
- loss of image or **reputation**

3.10 As each risk is ranked with reference to current controls and then future controls, the risk prioritisation system can compute a “score” in the range of 1 to 5

- 1 and 2 being a ‘red’ risk
- 3 and 4 being an ‘amber’ risk and
- 5 being a ‘green’ risk

4.0 LINKS BETWEEN CORPORATE AND DIRECTORATE RISK REGISTERS

4.1 As indicated previously, the Corporate Risk Register is the culmination of the identification of key significant risks that are identified at Directorate and Service levels. For information and out of interest, an exercise is carried out to identify the links between Directorate Risk Registers and the Corporate Risk Register. Please find attached a diagram showing these links at **Appendix B**.

5.0 RECOMMENDATIONS

5.1 That the Committee note:

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

GARY FIELDING
Corporate Director – Strategic Resources

County Hall, Northallerton
April 2021

Report Author:
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Background papers: None

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

Change	Risk Title	Risk Description	Person		Classification												Fallback Plan			
			Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	20/187 - Information Governance	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to FoI requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc	Chief Exec	CD SR	H	M	M	M	H	1	11	30/06/2021	H	L	M	L	M	2	Y	CD SR
◀▶	20/207 - Beyond 2020 Change Programme	Failure to implement a coherent transformation and savings programme "Beyond 2020" which delivers the improvements and forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts	Chief Exec	CD SR	H	H	H	H	H	1	11	31/03/2021	M	H	H	H	H	2	Y	All Mgt Board
◀▶	20/1 - Funding Challenges	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction	Chief Exec	CD SR	H	H	H	H	H	1	9	31/01/2021	M	H	H	M	M	2	Y	All Mgt Board
▼	20/235 - Ending of EU Exit Transition Arrangements	At the end of the EU Exit transition period (31 December 2020) and/or the phased introduction of border checks (30 June 2021) the UK has sub-optimal trade deals and other arrangements resulting in difficulties (which impacts on residents and local businesses), in price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; adverse impacts upon the local economy and infrastructure and environmental standards; data protection; some EU citizens living in the county who do not have settled or pre-settled status will be unable to work, study, rent housing or have recourse to public funds causing an impact on recruitment, damaging community cohesion, and necessitating additional expenditure to support the most vulnerable.	Chief Exec	All Mgt Board	H	M	H	M	M	1	26	31/01/2021	M	M	H	M	M	2	Y	Chief Exec
◀▶	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.	Chief Exec	CD HAS	H	M	H	M	H	1	14	31/12/2020	H	M	M	M	M	2	Y	CD HAS
◀▶	20/245 - Recovery from Coronavirus	Failure to lead an effective recovery from the outbreak of Coronavirus in North Yorkshire resulting in adverse impact on the health and wellbeing of residents and staff, long term damage to the local economy and financial position of the council, and inadequate arrangements for the education of children and young people	Chief Exec	CSD AD PPC	H	M	H	M	H	1	11	31/08/2021	M	M	H	M	H	2	Y	Chief Exec
◀▶	20/236 - Opportunities for Devolution and	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through	Chief Exec	CD BES	H	M	H	H	H	1	15	31/12/2020	M	M	M	M	M	4	Y	CD BES Chief Exec

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

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

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

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

Phase 1 - Identification											
Risk Number	20/187	Risk Title	20/187 - Information Governance				Risk Owner	Chief Exec	Manager	CD SR	
Description	Ineffective information governance arrangements lead to unacceptable levels of unauthorised disclosure of personal and sensitive data, poor quality or delayed responses to Fol requests, and inability to locate key data upon which the Council relies resulting in loss of reputation, poor decision making, fine, etc					Risk Group	Legislative	Risk Type	CS 15/161		
Phase 2 - Current Assessment											
Current Control Measures			Information Governance Strategy including the associated Policy and Procedure Framework; CIGG Action Plan; data breach process; messages from senior management; on-line training; staff induction; Information Asset Owners identified; information asset registers regularly updated; Internal Data Governance team with an identified representative for each Directorate (replacing DIGCs); Veritau appointed as DPO; posters; intranet information; regular monitoring of electronic communication by T&C; series of unannounced security compliance visits by internal audit; application of all the features of the Information Security Management System (ISMS); Fol – controls include central monitoring of receipt and progress, regular review by Veritau and review of outstanding cases by the Chief Exec on a monthly basis; proactive monitoring of all data; terms of reference reviewed; Veritau investigate significant data breaches; CIGG consider reasons for data breaches and cascade lessons learned; secure physical storage and internal info transfer issues resolved; Non NYCC Network Access Policy produced; e learning training packages refreshed; targeted phishing campaign; Information Sharing Protocol in place; SAR - controls include central monitoring of receipt and progress; refreshed Information Governance page on intranet; Information Governance risk register completed; Data Quality Improvement Action Plan agreed; Directorates' discussion on the potential outcome of a cyber-attack carried out; DPIAs in place;								
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	15/423 - Continue to emphasise personal responsibility of staff for all information in this area and consider disciplinary action in cases of data breaches					Action Manager	CD SR CSD ACE BS	Action by	Tue-31- Aug-21	Completed	
Reduction	15/424 - Continue to review information asset registers and target training where appropriate (ongoing)					Action Manager	CSD SR AD T&C Ho Int Audit	Action by	Tue-31- Aug-21	Completed	
Reduction	15/426 - Continue to ensure individual information sharing agreements completed for each data sharing activity - (ongoing)					Action Manager	Ho Int Audit	Action by	Tue-31- Aug-21	Completed	
Reduction	15/431 - Continue to work within services in a prioritised order to ensure information (electronic and physical) is secure and transferred securely (ongoing) (linked to Microsoft 365 roll out)					Action Manager	CSD SR AD T&C	Action by	Tue-31- Aug-21	Completed	
Reduction	15/433 - Continue communications to staff to ensure good Information Governance including messages from Management Board and associated campaigns (ongoing)					Action Manager	CSD SR AD T&C Ho Int Audit	Action by	Tue-31- Aug-21	Completed	
Reduction	15/611 - Ensure Data Protection risks are managed to comply with GDPR (ongoing)					Action Manager	CSD SR AD T&C	Action by	Tue-31- Aug-21	Completed	
Reduction	15/612 - Data Quality Improvement - implement an action plan to address the Data Quality issues that are impacting on the accuracy of operational management information, performance reports, transparency publications and statutory returns					Action Manager	CSD SR AD T&C	Action by	Thu-30- Sep-21	Completed	
Reduction	15/613 - Documents and Record Management - implement the approach to document and records management and storage with the Council that encompasses both physical and electronic information (linked to Microsoft 365 roll out)					Action Manager	CSD SR AD T&C	Action by	Tue-31- Aug-21	Completed	
Reduction	15/636 - Review existing training and continue to develop and implement appropriate training relating to quality and security of information					Action Manager	CSD SR AD T&C Ho Int Audit	Action by	Tue-31- Aug-21	Completed	

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

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

Corporate Risk Register

Appendix A

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

Phase 1 - Identification											
Risk Number	20/207	Risk Title	20/207 - Beyond 2020 Change Programme				Risk Owner	Chief Exec		Manager	CD SR
Description	Failure to implement a coherent transformation and savings programme "Beyond 2020" which delivers the improvements and forecast funding shortfall resulting in short term and sub optimal savings decisions ie service cuts					Risk Group	Strategic		Risk Type	CS 15/11	
Phase 2 - Current Assessment											
Current Control Measures			Transformation programme; alignment with Council Plan and corporate priorities; Members workshops & political group sessions completed; briefings of Cabinet; regular Mgt Board/Programme Board meetings; staff communication constantly reviewed and cross cutting themes programme board continue to meet and follow the governance structure; quarterly meetings with finance ADs and programme managers to align savings against programme budgets; review carried out of governance and areas of future focus for Programme Board; all major change programmes are captured within this Programme to better manage dependencies and resources; Enhanced Strategic Support service to ensure high quality and robust service and team planning; action plan following peer review monitored; intensive review of areas of overspend and actions to mitigate; review (deep dives) into specific high-risk base budgets such as HAS Care and Support, SEN Transport and School Improvement carried out; fundamental review of the organisation's design and development programme carried out; BEST approach embedded into service planning;								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	15/634 - Further shape the emerging Beyond 2020 Programme (taking into account Covid-19 and LGR) to lead to identifying new areas of cross cutting programmes for implementation going forward					Action Manager	CSD SR AD T&C		Action by	Wed-31-Mar-21	Completed
Reduction	15/635 - Continue to carry out fundamental review of projects, reassessment of priority and agree outcomes					Action Manager	CD SR CSD SR AD T&C		Action by	Tue-31-Aug-21	Completed
Reduction	15/639 - Continue to carry out focussed reviews on areas of overspend, poor performance and/or opportunities for improvement					Action Manager	CD SR CSD SR AD T&C		Action by	Tue-31-Aug-21	Completed
Reduction	15/831 - Continue to monitor delay of Programmes and the effect on benefits (ongoing)					Action Manager	CSD SR AD T&C		Action by	Tue-31-Aug-21	Completed
Reduction	20/52 - Refresh and carry out a revised plan for reviewing base budgets in 2020/21 on a risk based assessment and linked to focussed reviews					Action Manager	CD SR		Action by	Wed-31-Mar-21	Completed
Reduction	20/386 - Approve detailed business plans for all businesses within the Brierley Group. by Shareholder Committee and Brierley Board and report progress to those bodies					Action Manager	CD SR		Action by	Thu-30-Sep-21	Completed
Reduction	20/403 - Carry out monthly monitoring of communications and engagement plan including key messages and themes (ongoing)					Action Manager	CSD HoC		Action by	Tue-31-Aug-21	Completed
Reduction	20/491 - Identify and target additional savings through corporate Procurement Strategy (ongoing)					Action Manager	CD SR		Action by	Thu-30-Sep-21	Completed
Reduction	20/526 - Continue to develop effective Commercial operations where appropriate (ongoing)					Action Manager	All Mgt Board Chief Exec		Action by	Tue-31-Aug-21	Completed
Reduction	20/595 - Develop transformational themes and produce outline business cases for Assess and Decide; Resilience and Wellbeing; Modern Council +; Environment					Action Manager	All Mgt Board		Action by	Wed-31-Mar-21	Completed
Reduction	20/729 - Fundamental review of Change Programme in light of Covid 19 issues and Local Government Reorganisation					Action Manager	All Mgt Board CSD SR AD T&C		Action by	Wed-31-Mar-21	Completed

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

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

Corporate Risk Register

Appendix A

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

Phase 1 - Identification											
Risk Number	20/1	Risk Title	20/1 - Funding Challenges				Risk Owner	Chief Exec		Manager	CD SR
Description	Inadequate funding available to the County Council to discharge its statutory responsibilities and to meet public expectation for the medium term resulting in legal challenge, unbalanced budget and public dissatisfaction					Risk Group	Resources		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Existing MTFS; Members Budget seminars; 2020 North Yorkshire Programme & constituent elements including service reviews; review of 2020NY in Members seminars, Cabinet, and Overview and Scrutiny Committees where Directorate based; 2020NY Programme Governance; modelling on implications of external funding levels (eg Spending Review Settlement); next phase of savings ideas generated; meetings with traded services' managers completed; interim NYES business plan in place; sustainable additional social care funding; advocacy work including with MPs, CCN and professional networks; initial review of the impact of the 1 year spending round (linked to action20/617);								
Probability	H	Objectives	H	Financial	H	Services	H	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
Reduction	15/721 - Ensure the Council takes advantage of available central government incentives such as grants and any potential funding is monitored, together with engagement in relevant consultations (eg job support scheme)					Action Manager		Action by	Completed		
						CD SR CSD ACE BS CSD AD SR (ML)		Wed-31-Mar-21			
Reduction	20/46 - Ensure effective consultation/communication with staff, public and Members about ongoing savings requirements					All Mgt Board		Sun-31-Jan-21			
Reduction	20/616 - Ensure active participation in professional networks and LG pressure groups (for example CCN and LGA) to shape activity in relation to advocacy (ongoing)					All Mgt Board		Sun-31-Jan-21			
Reduction	20/617 - Continue to lobby MPs and Govt for additional funding particularly in relation to adults and children's social care, High Needs, Schools Capital and rural costs (ongoing)					CD HASCD SR		Wed-31-Mar-21			
Reduction	20/618 - Implement Beyond 2020 Change Programme to address ongoing savings for the new MTFS (on hold).					All Mgt Board		Wed-31-Mar-21			
Reduction	20/750 - Ensure regular monitoring at management board and CYPS Overview and scrutiny committee of financial challenges for schools to highlight the present financial position to ensure immediate and emerging challenges are addressed. (ongoing)					CD CYPS CSD AD SR (HE)		Sat-31-Jul-21			
Reduction	20/751 - Further develop and implement a robust programme for high needs/SEN to identify cost reduction measures (ongoing)					CSD AD SR (HE)		Sat-31-Jul-21			
Reduction	20/796 - Lobby for fairer funding review, abolition of business rates retention, new funding for Covid pressures and part of longer term spending review					CD SR		Wed-31-Mar-21			
Reduction	20/797 - Implement urgent additional measures in light of Covid – 19 pressures to restrict spending(hard nose review of reserves, no new spending initiatives)					All Mgt Board		Wed-31-Mar-21			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	H	Services	M	Reputation	M	Category	2

Corporate Risk Register

Appendix A

Risk Register: month 0 (November 2020)-detailed

Next Review due: May 2021

Report Date: 2nd December 2020 (pw)

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

Corporate Risk Register

Appendix A

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

Phase 1 - Identification											
Risk Number	20/235	Risk Title	20/235 - Ending of EU Exit Transition Arrangements				Risk Owner	Chief Exec	Manager	All Mgt Board	
Description	At the end of the EU Exit transition period (31 December 2020) and/or the phased introduction of border checks (30 June 2021) the UK has sub-optimal trade deals and other arrangements resulting in difficulties (which impacts on residents and local businesses), in price uncertainty and supply chain difficulties, price pressures from contractors, increased demands on services from customers and businesses; adverse impacts upon the local economy and infrastructure and environmental standards; data protection; some EU citizens living in the county who do not have settled or pre-settled status will be unable to work, study, rent housing or have recourse to public funds causing an impact on recruitment, damaging community cohesion, and necessitating additional expenditure to support the most vulnerable.					Risk Group	Strategic	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			Work that was carried out in preparation for the potential of a hard Brexit on or before 31 December 2019; continual monitoring of developments including discussions between the UK, EU and other nations and legislation going through Parliament; awareness of changes in Employment, Procurement, State Aid and Trading Standards legislation;								
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	M	Category	I
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	20/250 - Workforce: Monitor the potential impact on recruitment including the care sector in particular and put together an appropriate action plan if required					CSD ACE BS		Sun-31-Jan-21			
Reduction	20/400 - Business support funding programmes – monitor likely changes and ensure that changes are well communicated					CD BES		Sun-31-Jan-21			
Reduction	20/405 - Farming support funding programmes – monitor likely changes and ensure that changes are well communicated					CD BES		Sun-31-Jan-21			
Reduction	20/454 - State Aid: Monitor details of future trading relationships, and understand the local implications of any guidance provided relating to State Aid. Act upon guidance issued by the Competition and Markets Authority when more detail is provided on the new regulatory function and how State Aid rules will be enforced.					CSD ACE LDS		Sun-31-Jan-21			
Reduction	20/461 - Public Health: Continue to maintain the same high standards in promoting and protecting the health of the public. Continue to monitor variations following EU Exit and put local arrangements in place.					CD HAS		Sun-31-Jan-21			
Reduction	20/465 - Procurement: Monitor the potential impact on public procurement regulations and action any changes to law and NYCC process as they occur. Links made with Cabinet Office EU/International Procurement Policy Team. Put in place additional contract variation scrutiny for lower value contracts.					CD SR		Sun-31-Jan-21			
Reduction	20/467 - Trading Standards: Develop generic and specialist business advice packages to complement existing business advice strategy. Liaise with Citizens Advice Consumer Service (CACS) to determine their contingency plans and make any necessary adjustments to the NYCC/CACS protocol. Review whether changes are required to the trading standards tasking filter and matrix and report to BES Executive Members. Review animal disease plans and amend as necessary.					CD BES		Sun-31-Jan-21			
Reduction	20/470 - Environmental Standards and Waste: continue to keep a watching brief, through attendance at relevant groups and receiving updates and briefings. Monitor the progression of the Environment Bill, assess the impact when enacted and put together an action plan for approval by Management Board. Monitor cross border waste movements and tariffs and put together an action plan for local arrangements. Work with Yorwaste on waste issues and carry out scenario planning.					CD BES		Sun-31-Jan-21			

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

Reduction	20/472 - Data Protection: Put controls in place for data transferred into and out of the UK. Review current cloud service contract and ensure controls are in place to ensure data is held in the UK. Monitor changes to the legal framework governing transfers of personal data. Monitor for EU decision to share data from the EU. Carry out changes to NYCC's privacy notice and contracts dependent on what deal is made.	CD SR	Sun-31-Jan-21
Reduction	20/478 - Continue to receive notification on emerging guidance on areas affecting Local Government, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/480 - Take part in engagements arranged by and with the MHCLG and other Government departments through the County Councils Network, review impact on the Council and report regularly on this to Management Board.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/730 - Work as part of North Yorkshire Local Resilience Forum to ensure that civil contingencies issues are identified, evaluated and appropriate planning undertaken.	CSD AD PPC	Sun-31-Jan-21
Reduction	20/737 - Catering - Evaluate capacity for frozen food storage. Discuss availability of food with suppliers (HAS).	CD SR	Sun-31-Jan-21
Reduction	20/738 - Customer Contact Centre - explore ability to increase capacity if needed and put plans in place	CSD SR AD T&C CSD SR CSCM	Sun-31-Jan-21
Reduction	20/739 - Communications – ensure contingency plans for sufficient capacity, and plans are in place for a daily rota across the county and district councils	CSD HoC LRF Comms Group	Sun-31-Jan-21
Reduction	20/740 - Human resources – ensure manager and staff cover/availability. Provide advice to WFH where appropriate (fuel shortage). Monitor potential knock on effect on workforce due to increase in wages to mitigate against EU citizens leaving	All Mgt Board	Sun-31-Jan-21
Reduction	20/741 - Resources – monitor availability of fuel, ensure Ringways maintaining contractually required stocks and ideally more, and investigate potential for storage	BES AD H&T	Sun-31-Jan-21
Reduction	20/742 - Adult Social Care – carry out mapping of staff/skills across the county to ensure safety of people. Monitor availability of medicines.	CD HAS	Sun-31-Jan-21
Reduction	20/743 - Highways – Monitor availability and cost increase of vehicles and vehicle parts	CD BES	Sun-31-Jan-21
Reduction	20/744 - BES strategic planning/heritage – obtain clarity around the loss of ESF and how its replacement will work	CD BES	Sun-31-Jan-21
Reduction	20/745 - Council Wide – discuss contingency plans and ensure robustness	All Mgt Board	Sun-31-Jan-21
Reduction	20/746 - Communications with Members	Chief Exec	Sun-31-Jan-21
Reduction	20/747 - Continue to work with District Councils to gather intelligence around businesses particularly exposed to risk		Sun-31-Jan-21
Reduction	20/805 - Encourage exporting and importing businesses to prepare for EU Exit Transition arrangements (assistance being provided through Trading Standards and the LEP)	CD BES	Sun-31-Jan-21
Reduction	20/806 - Continue to advertise to ensure that information regarding the Local Assistance Fund reaches the appropriate people	CD SR	Sun-31-Jan-21
Reduction	20/1190 - EU Settlement Scheme – Registration Service to support applicants without access to Android phone. And through proactive campaigning by the Comms team, HAS and CYPS, ensure that every eligible person (including existing service users) is aware of and encouraged to consider applying for settled / pre-settled status	CD CYPS CSD HoC CSD PPC GM RA&C	Sun-31-Jan-21

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

Corporate Risk Register

Risk Register: month 0 (November 2020)-detailed

Next Review due: May 2021

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

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Risk Register: **month 0 (November 2020) – detailed**
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Phase 1 - Identification											
Risk Number	20/194	Risk Title	20/194 - Major Failure due to Quality and/or Economic Issues in the Care Market				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Major failure of provider/key providers results in the Directorate being unable to meet service user needs. This could be caused by economic performance or resource capabilities including recruitment and retention. The impact could include loss of trust in the Care Market, increased budgetary implications and issues of service user safety.					Risk Group	Legislative	Risk Type	HAS Dir 3/162		
Phase 2 - Current Assessment											
Current Control Measures		Regular review and monitoring of contracts in addition to close working relationship with corporate procurement colleagues. Quality Improvement Team now embedded into the service and continuing to work well. Market position statement created as an online tool to support commissioning and interventions into the market. Work underway to develop a quality pathway with enhanced market surveillance to ensure market oversight in line with The Care Act. Hardship process in place to enable financial assistance to the market where value for money and strategic need can be evidenced. Service Development function now created linked to locality working to identify market issues at an early stage and appropriate market support strategies are created. Ongoing rolling programme of audits by Veritau of individual suppliers. Initial business case approved for Intervention into Harrogate market. Enhanced care homes services in place during Coronavirus pandemic to provider wrap around support to the market.									
Probability	H	Objectives	M	Financial	H	Services	M	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/468 - Continue to revise and update a market position statement; this is now an online statement with different aspects being updated as and when required					HAS AD C&Q	Tue-30-Jun-20	Tue-30-Jun-20			
Reduction	20/469 - Jointly with Health continue to monitor baseline assessments QA framework and risk profiles of providers; targets are reviewed at quarterly officer meetings and info fed into engagement group; pursue opportunities for joint working between HAS and NHS with plans in place for health brokerage (brokerage pilots in place)					HAS AD C&Q	Tue-30-Jun-20	Tue-30-Jun-20			
Reduction	20/471 - Continue with regular engagement meetings with CQC locally and engage with CQCs national programme of identifying providers where there is significant risk of failure					HAS AD C&Q	Tue-30-Jun-20	Tue-30-Jun-20			
Reduction	20/473 - Continue to engage in ADASS work to manage major problems occurring, such as financial issues in the care provider market and ensure robust contingency planning and to learn lessons from serious case reviews at a national level; more work being done to enhance regional ways of working; this continues, working through any remaining data sharing issues with Data Governance					HAS AD C&Q	Thu-31-Dec-20				
Reduction	20/474 - Continue to work with Veritau on audits of individual suppliers (rolling programme in place)					HAS AD C&Q	Wed-31-Mar-21				
Reduction	20/486 - Implement action plan following outcome of state of the market exercise and ensure inclusion of NHS and Partners - ongoing (Make Care Matter; IBCF monies used for Recruitment Hub and Learning4Care) and regularly report to ISPB					HAS AD C&Q	Wed-30-Sep-20	Wed-30-Sep-20			
Reduction	20/492 - Review any opportunities to stabilise the market through additional Govt funding given to social care for this purpose (review position each year for next 3 years of funding); IBCF being used for piloting an approach to rural dom care, supporting recruitment and training					CSD AD SR (AH) HAS AD C&Q	Thu-30-Apr-20	Sat-29-Feb-20			
Reduction	20/538 - Developing a quality pathway, revising processes and procedure and incorporating best practice adopting a risk based / predictive approach; this will come from the focussed review					HAS C&Q Ho Q&M	Fri-30-Apr-21				
Reduction	20/539 - Rewriting quality policies with input from Veritau as part of focussed review					HAS C&Q Ho Q&M	Fri-30-Apr-21				

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Reduction	20/540 - Ensure clarity around commissioning intentions using place based intelligence	HAS AD C&Q	Tue-30-Jun-20	Fri-31-Jan-20							
Reduction	20/541 - Work with ICG to ensure provider BCPs are in place (complete) and evidence of testing can be provided	HAS AD C&Q	Tue-30-Jun-20	Tue-30-Jun-20							
Reduction	20/542 - Consideration of market interventions, including development of a provider arm or a proposal to bring organisations together (initial business case approved for intervention into Harrogate market)	HAS AD C&Q	Thu-30-Sep-21								
Reduction	20/807 - Starting a system wide market development board to monitor the impact of Covid and other issues in the market; individual work streams within this to be established	HAS AD C&Q	Thu-30-Sep-21								
Reduction	20/1188 - Monitor issues caused by the complex partner relationships, meetings and structures and raise at HASLT where appropriate – ongoing	HAS AD C&Q	Wed-30-Jun-21								
Phase 4 - Post Risk Reduction Assessment											
Probability	H	Objectives	M	Financial	M	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	20/548 - Make client safe, crisis meeting, implement relevant steps, consultation with senior staff and relevant organisations (e.g. Police CQC). Effective communication to relevant parties, utilise established failure plan.									Action Manager	CD HAS

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

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

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Phase 1 - Identification											
Risk Number	20/236	Risk Title	20/236 - Opportunities for Devolution and Growth in North Yorkshire				Risk Owner	Chief Exec	Manager	CD BES	
Description	Failure to take advantage of Devolution opportunities and to deliver the ambition of Sustainable Economic Growth, through for example the delivery of the right housing and transport whilst protecting the outstanding environment and heritage, resulting in reduced investment and impact on the growth and jobs, inability to recover from the impact of the Virus, attract, retain and grow businesses and raise living standards across North Yorkshire					Risk Group	Strategic	Risk Type	BES 7/174		
Phase 2 - Current Assessment											
Current Control Measures			<p>Devolution - proposals submitted to Govt., LEP strategic economic plan in place; NYCC retains the Infrastructure Delivery Steering Group; NYCC wide co-ordination of development needs linked to District plans; local authorities are moving towards a joint committee & considering a combined authority; LA Director group in place; plan detailing powers and funding developed; consensus of Yorkshire local authorities on Devolution geography and opportunities; York and North Yorkshire geography and proposition established;</p> <p>Growth - Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in 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); Work to monitor and support opportunities to secure alternative governance arrangements including a Devolution deal with Government; District Liaison groups established with 76 Districts; Brexit consultations undertaken on behalf of NYCC and responses intelligence used for strategic response including Devolution requirements; Phase 2 options and plans for strategic natural capital investment defined in strategic Devolution documents with monetary and resource requirements;</p>								
Probability	H	Objectives	M	Financial	H	Services	H	Reputation	H	Category	I
Phase 3 - Risk Reduction Actions											
Reduction	20/246 - Continue to monitor the Devolution agenda and communication with stakeholders to maximise opportunities (ongoing); the greater York/NY geography is being used in some areas of growth work (ongoing)					Action Manager	BES AD GP&TS	Action by	Sun-31-Oct-21	Completed	
Reduction	20/364 - Devolution - Gain political support both locally and nationally (ongoing)					Action Manager	Chief Exec	Action by	Sun-31-Oct-21	Completed	
Reduction	20/549 - Growth - Carry out an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan including the Coronavirus recovery plan (ongoing) (refreshed draft Growth Plan produced as at 31 March 2020. Timetable including consultation agreed at Growth Plan Steering Group 1 July and an Executive meeting is booked for Dec 2020)					Action Manager	BES AD GP&TS BES GP&TS HoSP&EG	Action by	Thu-31-Dec-20	Completed	
Reduction	20/550 - Growth - Continue to embed enhanced collaborative working arrangements with District Councils (annual review of progress and for 2020 there is the need to consolidate the process with a pipeline of strategic projects to work together on.) - ongoing					Action Manager	BES AD GP&TS	Action by	Fri-31-Dec-21	Completed	
Reduction	20/552 - Growth - Maintain good working relationship with the LEP (including work to align LEP funding with the Directors of Development master planning funding. Also teams working with the LEP to deliver a series of Webinars) (ongoing)					Action Manager	CD BES	Action by	Fri-31-Dec-21	Completed	
Reduction	20/553 - Growth - Continue to understand and investigate any impacts of Brexit and ensure opportunities are taken					Action Manager	BES AD EPU CD BES	Action by	Thu-31-Dec-20	Completed	
Reduction	20/597 - Growth - Complete YNYERH Spatial Framework SDZ Long Term Development Statements to enable effective long-term planning and investment of infrastructure for growth; approval by LGNY Board / Leaders for publication and open release of the framework					Action Manager	BES AD GP&TS	Action by	Thu-31-Dec-20	Completed	

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Reduction	20/598 - Growth - Deliver strategic natural capital investment via the Local Nature Partnership (LEP/LNP lead); Taking forward phase 2 implementation options with partners (Local Authorities, DEFRA, Universities, Business) with link to 25 Year Environment plan and government policy changes (planning net gain, agriculture ELMs, Local Industrial Strategy & Natural Capital plans) ongoing.	BES AD GP&TS	Wed-31-Mar-21	
Reduction	20/723 - Devolution - Develop a York/North Yorkshire proposition including a combined authority, in response to Govt. continuing to reject One Yorkshire	Chief Exec	Tue-30-Jun-20	Sun-31-May-20
Reduction	20/725 - Devolution - Carry out consultation for a York/North Yorkshire proposition and following approval, submit to Govt (in July 2020) and then negotiate and obtain relevant financial opportunities and powers for a combined authority.	Chief Exec	Sun-31-Oct-21	
Reduction	20/794 - Growth - Continue to understand and investigate the impacts of the Coronavirus pandemic and work with partners to develop a recovery plan to assist North Yorkshire businesses (including Trading Stds contributing a range of business advice/support initiatives to the plan.)	BES AD GP&TS CD BES	Fri-31-Dec-21	
Reduction	20/916 - Devolution - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)	Chief Exec	Fri-31-Jul-20	Sat-29-Feb-20
Reduction	20/917 - Devolution - Develop detailed business cases for different geographies	Chief Exec	Fri-31-Jul-20	Sat-29-Feb-20
Reduction	20/1197 - Devolution - Ensure delivery of LGR (estimated timescale)	Chief Exec	Wed-31-Mar-21	
Reduction	20/1397 - Devolution - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government including interim devolution deals	CD BES	Sun-31-Oct-21	

Phase 4 - Post Risk Reduction Assessment

Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
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Phase 5 - Fallback Plan

Fallback Plan	20/572 - Carry out further discussions with Central Government if required and review and revise existing arrangements for sustainable economic growth	Action Manager	CD BES Chief Exec
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Phase 1 - Identification											
Risk Number	20/47	Risk Title	20/47 - Partnership and Integration with Health				Risk Owner	Chief Exec	Manager	CD HAS	
Description	Failure to achieve the best outcomes from working jointly with the Commissioner and Provider resulting in suboptimal maximisation of integration across the NYCC footprint, a negative impact on the customer experience and the possibility of fragmented care and poor outcomes				Risk Group	Partnerships	Risk Type	HAS 3/180			
Phase 2 - Current Assessment											
Current Control Measures		<p>HAS: Effective HWB partnership with clear reviewed and revised - governance providing strategic leadership regarding H&W across the County; chief Officer representation influencing the development of STP/ICs; HASLT locality delivery model in place actively shaping local integration plans; Joint leadership in Harrogate developing a new model of care building on the work of Vanguard; joint commissioning boards in Hamb/Rich and Scarborough/Ryedale CCGs underpinned by s75 agreements; investment of IBCF and BCF to protect social care; Joint Health and Well-being Strategy in place; corporate task and finish group for DToC in place; HWB development sessions; Integration and Better Care Fund Plan developed with CCGs and agreed at Health and Wellbeing Board; 2020 Health Programme focussing on integration established; York and North Yorkshire SLE in place with a work programme of 10 priorities; joint commissioning boards for HRW and Scarborough in place (but in abeyance pending re-organisation of NY CCGs);</p> <p>CYPS: H&W Board; Health and Well-being Strategy; JSNA; services commissioned for 0-5 and 5 -19 Healthy Child Programme to ensure close alignment with CYPS Services; Childhood Futures governance arrangements in place; Young and Yorkshire 2 (Being Young in North Yorkshire (BY in NY) in draft);</p>									
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	20/60 - Ensure that we account for the BCF and IBCF funding as per the Regulations on a quarterly basis (ongoing)					Action Manager	CSD AD SR (AH)	Action by	Tue-31-Mar-20	Completed	Tue-31-Mar-20
Reduction	20/362 - Ensure NHS partners are fully aware of the democratic and political environment they are operating within and liaise with Scrutiny colleagues to ensure a positive outcome (ongoing)					Action Manager	CD HAS	Action by	Tue-30-Jun-20	Completed	Tue-30-Jun-20
Reduction	20/363 - Actively monitor relationships, priorities and communications and ensure that HAS managers are fully engaged at appropriate level and review at HAS WLT on a regular basis (ongoing)					Action Manager	CD HAS	Action by	Wed-30-Jun-21	Completed	
Reduction	20/399 - Develop proposals to align to the emerging new Primary Care Networks which will be established. (temporarily implemented due to Covid-19 requirements and reviewed during recovery).					Action Manager	HAS AD HI	Action by	Sun-31-Jan-21	Completed	
Reduction	20/402 - Review arrangements relating to time limited additional social care funding at March service plan challenge with Chief Exec					Action Manager	CD HASCD SR	Action by	Tue-31-Mar-20	Completed	Tue-31-Mar-20
Reduction	20/451 - Agree and implement Harrogate and Rural Alliance (Sept 2019 complete) integration of community health and social care services and also further new models of care when emerging new Primary Care Networks are established					Action Manager	CD HAS	Action by	Wed-31-Mar-21	Completed	
Reduction	20/452 - Engage wider HASLT in testing the implications of different integration models (ongoing)					Action Manager	HAS AD C&Q HAS AD HI	Action by	Wed-31-Mar-21	Completed	
Reduction	20/457 - Improve the DToC (Delayed Transfer of Care) performance to avoid financial penalties and reputational issues. Implement the work programme of the Transfers of Care Board. – HI overview with C&S delivery, continued progress on the social care element but still reliant on the NHS areas					Action Manager	HAS AD C&Q HAS AD C&S	Action by	Tue-30-Jun-20	Completed	Tue-31-Mar-20
Reduction	20/458 - Consider MoUs for STP / ICS across the County that explicitly define the Council's involvement and engagement in these arrangements					Action Manager	CSD AD SR (AH) HAS AD HI	Action by	Wed-31-Mar-21	Completed	

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Reduction	20/481 - Continue to contribute to the delivery of the workplan for the Health and Well-being Board in relation to children's health priorities and ensure strategic decision making in Health is influenced through alignment with the JSNA and the Young and Yorkshire 2 (Being Young in North Yorkshire (BY in NY) in draft) (ongoing)	CD CYPs	Thu-30-Sep-21								
Reduction	20/528 - Commission a review of CHC arrangements relating to the needs of children with SEND (draft report completed Mar 2020)	CSD AD SR (HE) CYPs AD Incl	Mon-31-Aug-20	Mon-31-Aug-20							
Reduction	20/565 - Actively work with Partners on a new way for the health system to work in North Yorkshire	HAS AD HI	Tue-31-Mar-20	Tue-31-Mar-20							
Reduction	20/724 - Ensure full participation across Health and the Local Authority in the Childhood Futures Programme	CYPs Comm Mgr Health	Wed-31-Mar-21								
Reduction	20/733 - Manage relationships at Trust and CCG level as a result of leadership changes (ongoing)	CD HAS	Tue-31-Mar-20	Tue-31-Mar-20							
Reduction	20/734 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health	CSD AD SR (HE) CYPs AD Incl	Wed-31-Mar-21								
Reduction	20/735 - Work jointly with CCGs to improve and enhance CHC operational pathways whilst working within the National Framework; temporary enhanced working CHC team in place	HAS AD C&Q	Fri-30-Apr-21								
Reduction	20/748 - Carry out a post implementation review of HARA	HAS AD HI	Wed-31-Mar-21								
Reduction	20/798 - Review all processes relating to DToC (Delayed Transfer of Care) during recovery from Coronavirus impact to ensure they are sustainable	HAS AD C&Q HAS AD C&S	Wed-30-Jun-21								
Reduction	20/799 - Ensure records of decision making during Coronavirus pandemic are complete	CD HAS	Wed-31-Mar-21								
Reduction	20/828 - Develop and implement an action plan following the outcome of the review of CHC arrangements for the needs of SEND children with Health.	CSD AD SR (HE) CYPs AD Incl	Wed-31-Mar-21								
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 5 - Fallback Plan											
Fallback Plan	20/210 - Escalation to CMB and Executive Members, further engagement with senior tiers in NHS locally, regionally and nationally.									Action Manager	CD HAS

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

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Phase 1 - Identification											
Risk Number	20/189	Risk Title	20/189 - Safeguarding Arrangements			Risk Owner	Chief Exec		Manager	CD HAS CD CYPS	
Description	Failure to have a robust Safeguarding service in place results in risk to vulnerable children, adults and families and not protecting them from harm.				Risk Group	Safeguarding		Risk Type	CYPS 24/250 HAS 3/27		
Phase 2 - Current Assessment											
Current Control Measures		<p>CYPS - North Yorkshire Safeguarding Children Partnership website; regularly reviewed procedures; monthly performance data for monitoring; audit regime; manager authorisation of all assessments; LCS; missing and at risk of exploitation multi-agency procedures and Specialist Social Worker roles to support practitioners; training strategy; clear supervision process which is audited on a regular basis; Multi Agency Screening Team (MAST); OFSTED 'outstanding' categorisation; Mgt file audit of case files; monitoring and management of performance against agreed targets in the SMT action plan;</p> <p>HAS - Detailed action plan; Safeguarding general manager and team; strengthening of Safeguarding policy team; case file audit and review; independent chair to Safeguarding Board in place; risk enablement panel in place and being reviewed; countywide safeguarding general manager in place; testing of initial performance metrics for Safeguarding Board has taken place further developing performance activity; initial safeguarding procedures reviewed linked to consultation in light of the Care Act and are being reviewed again; safeguarding board performance framework; Q&E [protocol for the relationship between Adults Social Care (and Children's Trust) and the Health and Wellbeing Board agreed and implemented;] information framework for serious incident data, eg drug death etc in place; recommendations from the commissioned independent review of safeguarding practice taken into consideration as part of the preparations for the implementation of the latest policy and procedures; local arrangements with Children's Safeguarding Board and Community Safety Partnerships reviewed; training for in house provider; new safeguarding policies and procedures implemented; including a Quality Monitoring Tool, monthly strategic meetings with CQC and Healthwatch;</p>									
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	20/374 - Ensure compliance with Safeguarding Board and Children and Families' procedures [CYPS]					CYPS AD C&F	Thu-30-Sep-21				
Reduction	20/382 - Continue to feed into review of EDT arrangements (adult lead) as required [CYPS]					CYPS AD C&F	Thu-30-Sep-21				
Reduction	20/384 - Continuation of 'Practice Weeks' where managers will visit locations to observe and review practice; these are now in place and teams will to be involved in the planning to make these more effective [CYPS]					CYPS AD C&F	Thu-30-Sep-21				
Reduction	20/385 - Use and further development of performance dashboards to support individual managers including development of managing upwards reports which support management and ownership of performance [CYPS]					CYPS C&F HoS	Thu-30-Sep-21				
Reduction	20/456 - Continue to report regularly to HASLT, Care and Independence O&S Committee and Health and Wellbeing Board particularly in light of preparation for the latest policy and procedures. [HAS]					HAS AD HI	Wed-31-Mar-21				
Reduction	20/487 - Continue to work with Commissioning and Quality team to improve quality assurance (development of new approaches and tools around working with providers on quality assurance issues); including work and regular meetings with CQC, Health and Healthwatch; near miss system in place [HAS]					HAS AD C&S (Asmt.) HAS AD HI	Sun-31-Oct-21				
Reduction	20/490 - Ensure training in respect of latest policies and procedures for elected Members, staff and Partners is reviewed and delivered [HAS]					HAS AD C&S (Asmt.)	Wed-31-Mar-21				
Reduction	20/534 - Continue to carry out the supervisory body role for DoLS to ensure the system is as effective as possible within existing resources and prepare for Liberty Protection Safeguarding Bill, details expected Jan 2020 and will become law by June 2020 (linked to action 20/615) (LPS guidance delayed due to impact of Coronavirus) [HAS]					HAS AD HI	Wed-30-Jun-21				

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

Corporate Risk Register

Appendix A

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

Next Review due: **May 2021**

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

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