

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

5 DECEMBER 2013

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 in the Business & Environmental Services (BES) Directorate's Statement of Assurance.
- 1.2 To provide details of the latest Risk Register for the 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), details of the Statement of Assurance provided by the Corporate Director, together with 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 on a quarterly basis. This covers performance, finance, Statement of Assurance, Risk Register, internal audit reports and horizon scanning.

3.0 STATEMENT OF ASSURANCE

- 3.1 Management Board, the Chief Executive and each Corporate Director produce a Statement of Assurance (SoA) at the end of each financial year. In this statement the Corporate Director identifies those items that may give rise to internal control or performance risk issues for the Directorate in the coming financial year. These issues feed into the process to produce the Annual Governance Statement prepared for the County Council.
- 3.2 The SoA for the BES Directorate identified a number of areas for improvement for 2013/14 together with proposed actions. These areas were considered at the meeting of this Committee on 27 June 2013. The relevant part of the SoA is attached as **Appendix A** together with comments and updates on progress since that meeting.

4.0 **DIRECTORATE RISK REGISTER**

4.1 The Directorate Risk Register (DRR) is produced initially from a review of risks at Service Unit level, which are then aggregated via a sieving process to Directorate level. This end product similarly aggregates these Directorate level risks into the Corporate Risk Register.

4.2 The Risk Prioritisation System adopted to derive risk registers 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)

The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate.

4.3 The latest detailed DRR is shown at **Appendix B** illustrating key risks with existing and additional actions to avoid or minimise them. The number of risks may be higher than expected and is reflective of the diverse nature of the Directorate and the presence of certain one-off risks such as the Tour de France.

4.4 In summary the risks (noted with their risk number in **Appendix B**) are:

One-off

- 7/173: Requirement to deliver a Minerals and Waste Development Framework by October 2015.
- 7/18: Delivery of the waste strategy.
- 7/201: Deliver the County Councils responsibilities for hosting the Tour de France.

On-going

- 7/30: Delivering effective procurement and contract management.
- 7/24: Management of the capital programme.
- 7/189: Prioritising and managing major schemes capital devolved funding.
- Delivering effective transport functions meeting the needs of directorate clients and maximising service improvements and efficiency.
- 7/174: Engagement with the Leeds City Region to ensure no missed opportunities for North Yorkshire.
- 7/175: Cultural change within the BES Directorate including One Council principles and the 2020 North Yorkshire programme.
- 7/26: Delivery of future savings.
- 7/23: Major incident and service continuity.
- 7/7: Meeting statutory duties.
- 7/22: Local Enterprise Partnership activity and strategy.
- 7/28: Performance of BES.
- 7/27: Deliver effective transport functions.

4.5 Areas of particular focus at the present time are the Tour de France, activities and opportunities from the Local Enterprise Partnership, cultural change including contributing to the 2020 North Yorkshire programme and delivery of existing and future savings requirements.

- 4.6 A summary of the DRR is attached as **Appendix C**. This provides an overview of the risks and their ranking, illustrates the impact of additional reduction actions and the change in the risk ranking from the previous review.
- 4.7 The DRR was completed by the BES Management Team in July 2013. Progress has been made on risk areas and a comprehensive review and update is scheduled for December 2013.

5.0 RECOMMENDATION

5.1 That the Committee:

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

DAVID BOWE
Corporate Director – Business & Environmental Services
22 November 2013

Report prepared by Trevor Clilverd, Assistant Director Strategic Resources

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
<p>A Economic Development</p> <ul style="list-style-type: none"> • Further support to the York North Yorkshire & East Riding Local Enterprise Partnership (YNYERLEP) through • Acting as Accountable Body • Provide support to the YNYERLEP to develop a long term strategy for growth as part of competing for a single pot and against which future EU Funds will be allocated taking account of the withdrawal of City of York Council from the YNYERLEP • Support the YNYERLEP in developing governance to meet new future arrangements with regard to devolved funding and powers 	<p>(a) Utilise existing funding to best meet YNYERLEP priorities ensuring compliance with Accountable Body requirements.</p> <p>(b) Produce the strategy for growth within set timescales focussed on business growth, infrastructure for growth and skills.</p> <p>(c) Identify a robust governance model that meets future arrangements through sound decision making, practical and demonstrable collaboration and clear priorities including a prioritised investment plan.</p> <p>(d) Assist the LEP in setting up arrangements for the single pot as announced by the Chancellor of the Exchequer in his Spending Review in June 2013.</p>	<p>Governance arrangements for the use of existing funds are in place, including the operation of the LEP Board and adherence with County Council requirements.</p> <p>An Economic Strategy is being produced. Positive feedback has been received on the draft EU strategy element and the economic plan to bid into the single local growth fund will be submitted by December 2013 with final decisions expected mid-2014.</p> <p>Joint working is operating to align Infrastructure Delivery Steering Group (IDSG) strategic development sites with the strategy. Actions taken to ensure that delivery of the Economic Strategy is assisted through collaborative working making best use of IDSG and its planning and coordination mechanisms.</p> <p>Work on this is running in parallel to the production of the Economic Strategy itself.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
<p>B Infrastructure Developments Ensure maximum benefit derived from infrastructure investment through</p> <ul style="list-style-type: none"> Continue the coordination of the infrastructure development of the County relative to the Local Development Frameworks with our partners as relevant Continue to implement highway asset management principles as part of management of the highway network 	<p>(a) Continue to progress the work of the Infrastructure Delivery Steering Group within the County Council and working with District Council partners.</p> <p>(b) Introduce a two year programme to maintain / enhance the County's highways infrastructure.</p>	<p>IDSG is now in delivery mode with County and District Infrastructure Champions in place. Project coordinators and teams are in place for all Strategic Development Sites. A standardised electronic information database has been launched and collaborative working with Districts is underway in relation to the Community Infrastructure Levy.</p> <p>Specific Project Coordinator engagement to date to unlock and progress Strategic Sites including at Middle Deepdale (Scarborough), Malton/Norton; Harrogate; and Olympia Park (Selby).</p> <p>A two year rolling programme for 2013/14 to 2014/15 is now in place and operating. This will enable a faster start to programme delivery in each year, reducing the risk of slippage and help to make best use of funding resources.</p>
<p>C Waste management procurement and performance Continue to deliver the Waste Strategy for the County including</p>	<p>(a) Review of funding and Unitary Charge protocol to ensure project is value for money and affordable.</p>	<p>Project funding was reviewed subsequent to the withdrawal of PFI credits. The Executive have agreed to progress the project with the</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
<ul style="list-style-type: none"> • Considering the position in the light of the withdrawal of Government funding • Progressing the Allerton Waste Recovery Park (AWRP) project to a conclusion • Leading the YNY Waste Partnership in delivering updated Strategy for minimisation, reuse, recycling and disposal 	<p>(b) Continue to identify opportunities to improve recycling performance and improved efficiencies in collection and disposal methods.</p> <p>(c) Continue to progress the development of infrastructure outside the AWRP project.</p> <p>(d) Continue to work with Yorwaste to develop and deliver a strategy for effective management of waste disposal across North Yorkshire.</p>	<p>next key stage that of final financial proposal from the contractor. Final financial assessment will be made against this proposal and reported to the Executive for decision.</p> <p>Work continues through the Waste Partnership and includes the efficiency of green waste collection and charging.</p> <p>Work continues on the Waste Transfer Station network. A planning application will shortly be submitted for Kirkbysperton and the application for Selby is being developed.</p> <p>A report is due to be presented to the Executive in the spring with regards the future involvement and role of Yorwaste.</p>
<p>D MTFS Savings Deliver savings projected in MTFS, MTFS2 and the One Council programme; identify new savings as further requirements are identified.</p>	<p>(a) Delivery of savings programme over the remaining period.</p>	<p>Full delivery is projected against existing savings targets.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
	<p>(b) Regularly monitor savings achieved compared to projections as part of on-going service and financial monitoring.</p> <p>(c) Identify any further savings that are deliverable to contribute to further additional savings requirements faced by the County Council.</p>	<p>Regular monitoring of the savings programme has been undertaken during 2013/14.</p> <p>Consultations are open in relation to how we deal with waste at Household Waste Recycling Centres and proposed reductions to bus services subsidy. The directorate is actively engaged in identifying additional options for budget reductions as part of the 2020 North Yorkshire programme.</p>
<p>E Cultural Change Continue to monitor new ways of working in line with One Council principles ensuring they are reflected as business as usual.</p>	<p>(a) The Management Team to continue to positively cascade the One Council message, providing clarity as needed.</p> <p>(b) Actively identify and implement internal efficiency savings by simplifying, sharing and standardising business processes and making the best use of existing ICT systems, such as Symology and Oracle.</p> <p>(c) Report on the level of success on a regular basis including an annual review.</p>	<p>A transformation programme is in place that reflects the One Council principles of 'simplify, standardise and share processes and services'. The programme covers a range of services with benefits including reduced manual processes, service functions using the same system to standardise and improved efficiency of operation. The Directorate is now focussed on contributing to the 2020 North Yorkshire programme in terms of its thinking, service options and challenge.</p> <p>The Transformation programme sets out benefits of projects and is regularly reported to the BES Management Team.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
<p>F Contract Management Improvements are sought in managing the Highways Maintenance Contract 2012 through implementation of agreed action plans. This particularly relates to ICT and Finance problems encountered in the first year of the contract (2012/13) with Ringway.</p> <p>Contract management health reports will be introduced for larger contracts / where they add value to ensure effective use of resources and delivery of services. Over 70% of BES expenditure is currently delivered through third party contracts.</p>	<p>(a) Implement agreed action plans to resolve ICT and Finance problems associated with the Ringway contract, using a collaborative approach with other local authorities where beneficial.</p> <p>(b) Complete first annual review of the Ringway contract and implement required actions / rectification action plans.</p> <p>(c) Roll out use of a scorecard mechanism to monitor contract management health across BES, starting with large contracts.</p>	<p>Council officers have worked collaboratively with other Ringway client local authorities and a joint approach was formulated. Improvements are being made with commitment shown from Ringway. Significant improvements have been made in relation to the reconciliation of financial information.</p> <p>Rectification Action Plans are in place for areas of concern and need for improvement, following the first annual review of the Ringway contract completed in May 2013. Performance figures for the period April to September 2013 show that 65% of the Primary Performance Indicators are at a 'pass' level compared with 48% at the end of the 2012/13 financial year. A performance update report will be provided to the January 2014 TEE Overview and Scrutiny Committee meeting.</p> <p>Highways contract health reporting is in place. Key measures include value and age of disputes, compliance with works ordering procedure and key control activities. A similar approach is being explored for transport services and waste management contracts.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2013
<p>G Performance across BES Use corporate performance management principles to effectively manage performance in BES and as part of prioritising the use of resources.</p>	<p>(a) Actively engage with developments in performance management including future arrangements for Quarterly reporting to Management Board and the Executive.</p> <p>(b) Implement performance tools (e.g. service scorecards) to further drive and embed performance management at team and individual level.</p>	<p>New performance reports for highways maintenance and waste management are in place and reported to the Executive on a quarterly basis. Input has been given on corporate developments and resource deployed on specific initiatives.</p> <p>A scorecard monitoring approach has been adopted across BES at specific service and/or team level; many are already in place with a programme for full delivery of the remainder. Monitoring of performance will increasingly see the integration of the four key aspects of customer, finance, operational efficiency and learning and improvement.</p>

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

Phase 1 - Identification											
Risk Number	7/173	Risk Title	7/173 - Minerals and Waste Development Framework				Risk Owner	CD BES		Manager	BES AD TS&P
Description	Failure to develop a Minerals and Waste Development Framework by end of October 2015 as the basis for development control decision-making resulting in risk of legal challenge through judicial review, appeals with resulting financial and workload implications, failure to support wider Corporate procurement, adverse implications for the local economy, risk of National Government passing on European fines.					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Performance monitoring, awareness of new developments, resource monitoring, briefing of BESMT, delivery of in-house sustainability appraisal work, memorandum of understanding to govern principles of joint working.					Effectiveness			
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	7/266 - Obtain Exec approval to change development of Framework date to end of October 2015.					BES AD TS&P	Tue-5-Feb-13	Tue-5-Feb-13	100%		
Reduction	7/267 - Work closely with City of York Council and the North Yorks Moors National Park Authority on joint Minerals and Waste Development Strategy.					BES AD TS&P	Sat-31-Oct-15		0%		
Reduction	13/54 - Continue to review progress against LDF milestones, review and update milestones as necessary, in particularly in light of Duty to Co-operate.					BES AD TS&P	Sat-31-Oct-15		0%		
Reduction	13/519 - Continue to keep budget priorities under review.					BES AD TS&P	Fri-28-Feb-14		0%		
Reduction	13/523 - Continue to monitor new developments, using planning officers society and peer groups in particular the Duty to Co-operate.					BES AD TS&P	Fri-28-Feb-14		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan											
Phase 1 - Identification											
Risk Number	7/30	Risk Title	7/30 - Procurement and Contract Management.			Risk Owner	CD BES		Manager	BES MT	

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

Description	Failure to implement challenging and effective contract procurement and management leading to internal / external criticism and sub optimal use of resources (e.g. Highways Maintenance, Engineering Services, Waste and IPT contracts).				Risk Group	Strategic			Risk Type		
Phase 2 - Current Assessment											
Current Control Measures	Commercial Services Unit established within BES, HoS CSU is a member of Corporate Procurement Group. Gateway process used where appropriate, regular communication and challenge between internal clients, reporting and challenge through various fora e.g. Capital Projects Board. Regular liaison meetings with partnering contractors and consultants, CPIs/KPIs developed and used to drive performance. Regular monitoring of existing controls, highlight and address any issues.								Effectiveness		
Probability	M	Objectives	M	Financial	H	Services	L	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
								Action Manager	Action by	Completed	%
Reduction	7/87 - Develop and implement Contract Health Reporting for all major contracts.					AD SR & Perf			Sat-30-Nov-13		0%
Reduction	7/99 - Monitor compliance with CPRs, Risk - based Procurement Gateway Process, supported by monitoring FPP, YORtender and training.					BES MT			Sat-31-May-14		25%
Reduction	7/136 - Continue to attend CPG and disseminate info/action across BES for CPG, YORprocure, O & SC etc, for example via quarterly Directorate Procurement Group meetings, 6 weekly Procurement KIT meetings with NYPS and AD, monthly procurement updates on intranet, and feedback e mails after every CPG.					BES MT			Sat-31-May-14		25%
Reduction	7/261 - CSU up-skilling of team member through attainment of CIPS Procurement Qualification (Level 4) and re-designation of role. Embedding Directorate Procurement Champion duties within CSU Team Plan and quarterly monitoring of associated performance.					BES H&T HoCS			Sat-31-May-14		25%
Reduction	7/476 - Audit and challenge processes within existing contract management arrangements.					BES MT			Sat-31-May-14		25%
Reduction	7/477 - Liaison with NYPS and challenge procurement methods when opportunities exist. Ensure effective use of resources through monitoring of NYPS Resource Plan, coordinate with BES FPP, promoting the NYPS resource available.					BES MT			Sat-31-May-14		25%
Reduction	7/478 - Challenge contract performance measures and develop more effective performance measures with key clients.					BES MT			Sat-31-May-14		25%
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	7/81 - Review individual circumstances as they occur, in consultation with others (eg NYPS, Legal, Finance) and develop appropriate solutions.									CD BES	

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

Phase 1 - Identification											
Risk Number	7/18	Risk Title	7/18 - Waste Strategy				Risk Owner	CD BES		Manager	CD BES
Description	Failure to deliver the current Waste Strategy					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Strategic group, officer group (strat and proc), PFI group, project plan and indicators, adopted waste strategy, adopted local plan (waste), strategy for sites and planning developed, business case approved, approval of Treasury (FBC), Contract awarded, waste flow and MTFs position monitored, monitoring of sites and planning strategies, IAA with CYC signed, ongoing close liaison with CYC, Close liaison with CYC to agree decision making process. CYC and NYCC Council approvals to award PFI Contract, planning advisor, Contractor appointed, planning permission granted subject to Judicial Review, soft market testing of interim solutions carried out.						Effectiveness		
Probability	M	Objectives	M	Financial	H	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	7/91 - Carry out Technical review including engineering to minimise long term contracts costs, demonstrate value compared with alternative options.					BES AD W&CS	Thu-31-Oct-13		0%		
Reduction	7/174 - Continue to ensure sufficiency of budget provision and strategy for Waste PFI (ongoing review).					Waste Strategy Finance Lead	Tue-31-Dec-13		0%		
Reduction	7/427 - Progress project funding with Amey Cespa and fully explore all alternative and options.					Waste Strategy Finance Lead	Thu-31-Oct-13		0%		
Reduction	7/428 - Continue to do soft market testing and scope options for interim solutions assuming delays in the long term.					BES AD W&CS	Tue-31-Dec-13		0%		
Reduction	7/429 - Make representations to Government and consider judicial review (as appropriate) to seek to recover PFI credits or compensation.					CSD ACE LDS	Mon-30-Sep-13		0%		
Reduction	7/430 - Obtain Members' sign off based on detailed VFM assessment and details of the business case					CD BES	Thu-31-Oct-13		0%		
Reduction	7/431 - Procurement &/or delivery of agreed front end facilities					BES AD W&CS	Tue-31-Dec-13		0%		
Reduction	7/432 - Continual review of waste flow to inform future strategy (ongoing).					CD BES	Tue-31-Dec-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	7/73 - Landfill, pay the fines, media management, delay and/or review procurement strategy.							CD BES			
Phase 1 - Identification											

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

Risk Number	7/24	Risk Title	7/24 - Capital Programme				Risk Owner	CD BES		Manager	AD SR & Perf
Description	Poor management of capital programme including BALB, LEP, LTP, LSTF, RFA, LTB, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.					Risk Group	Financial		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures	Project mgrs/sponsors for each project, regular financial & project monitoring and reporting of the programme, some project planning, risk assessments of capital programme, report to CD BES, Gateway training carried out, Capital Projects Board in operation, risk assessment carried out in Capital Plan reports feed into MTFs, Finance Officer support to Capital, post implementation review of Capital Projects Board, selective review of projects, improved governance following PIRs, finance support skills reviewed, capital programme information and reports required by CD BES reviewed. terms of reference are fulfilled for Project Board and team on Capital programme management including full review of Capital Programme and operation of Capital Projects Board, risk register for BALB, project board & team for BALB, ISDG.								Effectiveness		
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	7/175 - Ensure quarterly regular reports to Exec include key issues on capital projects covering service and financial matters. Improvement required with regards to timeliness and content – forecasting from project manager(s), clear, robust statements of what is happening on programmes and projects, key milestones and risks highlighted in sufficient detail commensurate with materiality, risk and impact of the programme / project.					BES MT	Sat-31-Aug-13		0%		
Reduction	7/257 - Implement additional and effective highways capital programme resource / manager to drive delivery of the programme.					BES AD H&T	Sat-31-May-14		2%		
Reduction	7/258 - Implement and operate 2 year LTP works programme ensuring realistic delivery targets and alignment of internal and external delivery resources.					BES AD H&T	Sat-31-May-14		10%		
Reduction	7/259 - Introduce efficiency measures for capital projects and programmes where relevant – focus on highways capital works programme for structural maintenance. Evidence of inefficiency in the programme leading to sub-optimal use of funding.					AD SR & Perf BES AD H&T	Mon-30-Sep-13		0%		
Reduction	7/373 - Introduction of contract management health measurement and reporting – this will contribute to delivery of works programme by ensuring key processes and actions are followed – e.g. process map compliance, effective communications between partners, etc.					AD SR & Perf	Mon-30-Sep-13		5%		
Reduction	7/419 - Specific and ongoing training in financial and project management for key					AD SR & Perf	Mon-30-Sep-		50%		

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

	BES staff. Focus on services / projects identified as higher risk and tailor to those specifics.		13									
Reduction	7/420 - Continue project management and gateway approach towards capital schemes.	AD SR & Perf	Sat-31-May-14		75%							
Reduction	7/422 - Establish appropriate actions and contingencies dependent upon risks using the capital risk register and finance register as management tools.	BES MT	Sat-31-May-14		75%							
Reduction	7/423 - PIR of major projects and lessons learnt/implemented PIR of major projects and lessons learnt/implemented as relevant – for 2013/14 = depots, LTP 2 year programme	BES MT	Sat-31-May-14		0%							
Reduction	7/424 - Sub group of Capital Projects Board to review projects when appropriate.	BES MT	Sat-31-May-14		0%							
Reduction	7/425 - - Ensure appropriate level of resources is allocated to the delivery of capital projects and programmes, including dedicated time and financial. Resources statement to accompany major projects and programmes at the planning stage.	BES MT	Sat-31-May-14		50%							
Reduction	11/180 - Advice and support for the LEP on financial and partnership governance and to the development and delivery of investments programmes. Particular focus on Growing Places, EU Funding and Single Pot.	AD SR & Perf	Sat-31-May-14		0%							
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3	
Phase 5 - Fallback Plan												
									Action Manager			
Fallback Plan	7/72 - Review of all resources, procedures, media management, member engagement.									CD BES		

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

Phase 1 - Identification											
Risk Number	7/189	Risk Title	7/189 - Major Schemes Capital Devolved Funding				Risk Owner	CD BES		Manager	BES AD H&T
Description	Failure to agree prioritised programme of schemes for submission to the Department for Transport and manage the programme effectively results in inability to deliver major scheme improvements and potential legal and financial impact upon the County Council as accountable body.					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Governance arrangements agreed with partners, Assurance Framework produced and submitted to Department for Transport and engagement with NYCC legal, finance and audit.						Effectiveness		
Probability	M	Objectives	M	Financial	H	Services	L	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	7/315 - Obtain confirmation of acceptance of LTB geography based on NY from DfT.						CD BES	Thu-28-Feb-13	Thu-28-Feb-13	100%	
Reduction	7/316 - Obtain DfT approval for Assurance Framework (Parts 1&2 agreed, part 3 o/s).						CD BES	Thu-31-Oct-13		0%	
Reduction	7/317 - Produce prioritised list of schemes and submit to DfT.						CD BES	Wed-31-Jul-13		0%	
Reduction	7/318 - Continue to engage with DfT at all levels, bordering Local Transport Bodies and local partners.						CD BES	Sat-31-May-14		0%	
Reduction	7/319 - Flag need for revenue resources to support initiative.						AD SR & Perf	Sun-30-Jun-13		0%	
Reduction	7/378 - Ensure effective engagement with LEP to achieve strong links between LTB priorities/scheme programme and the LEPs evolving Strategic Economic Plan.						CD BES	Mon-30-Sep-13		0%	
Reduction	7/436 - Fulfil role as accountable body in accordance with Assurance Framework.						CD BES	Sat-31-May-14		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	7/537 - Manage media issues and engagement with local partners.								CD BES		
Phase 1 - Identification											
Risk Number	7/201	Risk Title	7/201 - Tour de France				Risk	CD BES		Manager	BES

Directorate Risk Register - Detailed

Risk Register: Month 0 (July 2013) – detailed

Report Date: 9th August 2013 (cpc)

						Owner				AD H&T	
Description	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de France in North Yorkshire in 2014 results in significant adverse publicity and potential legal and financial impact upon the County Council.					Risk Group	Performance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures	NYCC Highways Project Team established with associated backfilling of staff arrangements, local project governance in place including North Yorkshire Delivery Group and County Council Co-ordination Group, key tasks identified and project plan in place.						Effectiveness				
Probability	M	Objectives	L	Financial	H	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed		%	
Reduction	9/192 - Keep resource levels under review to ensure they are sufficient including the staff backfill arrangements (on-going).					BES AD H&T	Thu-31-Jul-14			0%	
Reduction	9/356 - Assess the condition of the route and identify appropriate remedial works.					BES AD H&T	Fri-31-May-13	Fri-31-May-13		100%	
Reduction	9/357 - Implement highway remedial works.					BES AD H&T	Thu-31-Oct-13			30%	
Reduction	9/358 - Develop a Traffic Management Plan for North Yorkshire that links into the event wide plan					BES AD H&T	Tue-31-Dec-13			20%	
Reduction	9/359 - Develop a detailed project risk register.					BES AD H&T	Fri-31-May-13			20%	
Reduction	9/360 - Continue to engage and work effectively with local and regional partners and the event owners ASO (on-going).					BES AD H&T	Thu-31-Jul-14			0%	
Reduction	9/361 - Deliver the key tasks in accordance with the project plan involving NYCC Directorates as appropriate.					BES AD H&T	Thu-31-Jul-14			20%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	9/101 - Manage media issues however the current control measures and risk reduction actions are considered adequate to ensure the County Council delivers its responsibilities in relation to the Tour de France.							CD BES			
Phase 1 – Identification											
Risk Number	7/174	Risk Title	7/174 - Leeds City Region Area Overlapping Boundaries			Risk Owner	CD BES	Manager		CD BES	
Description	The Leeds City Region Area has a complex mixture of overlapping boundaries relative to					Risk	Strategic	Risk Type			

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	economy, planning, transport and infrastructure, which may not have a positive impact or may prejudice outcomes for North Yorkshire residents as a whole, resulting in missed opportunities or funding for North Yorkshire.	Group									
Phase 2 - Current Assessment											
Current Control Measures		Communication and engagement internally within the County Council, and with appropriate authorities, the YNYER LEP and Government departments.			Effectiveness						
Probability	M	Objectives	L	Financial	H	Services	L	Reputation	L	Category	2
Phase 3 - Risk Reduction Actions											
				Action Manager	Action by	Completed	%				
Reduction	7/92 - Engage with all authorities to promote: opportunities and benefits for North Yorkshire, as well as its objectives, interests and needs.			BES RUG	Sat-31-May-14		0%				
Reduction	7/94 - Engage with Government departments to influence outcomes.			BES RUG	Sat-31-May-14		0%				
Reduction	7/262 - Communicate benefits of alternative arrangements that could be complimentary to Leeds City Region.			BES RUG	Sat-31-May-14		0%				
Reduction	7/263 - Ensure the scope of topics includes the full range of North Yorkshire's interests and objectives including in relation to the economy, transport, infrastructure and green infrastructure matters.			BES RUG	Sat-31-May-14		0%				
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	L	Financial	M	Services	L	Reputation	L	Category	4
Phase 5 - Fallback Plan											
					Action Manager						
Fallback Plan											

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Phase 1 - Identification											
Risk Number	7/175	Risk Title	7/175 - Cultural Change including previous One Council and new 2020 North Yorkshire programmes.				Risk Owner	CD BES	Manager	BES MT	
Description	Failure to effectively manage cultural change resulting in adverse impact on service delivery, inability to fully meet current and future financial requirements and not able to fully deliver any changes under the 2020 North Yorkshire plan.					Risk Group	Change Management	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures		BES MT, BES Senior Managers away-days, CD BES Staff Updates, reps on One Council workstreams (where still relevant), key messages, cascade of One Council vision and approach, monitoring of impacts on performance, monitoring of impacts on savings target, staff stress survey carried out.						Effectiveness			
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	L	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	7/93 - Continue communication/engagement arrangements with staff on One Council principles and 2020 North Yorkshire programme.					BES MT	Mon-31-Mar-14		0%		
Reduction	7/260 - Continue to monitor impacts of One Council cultural change on service delivery and in relation to the 2020 North Yorkshire programme – in order to monitor this develop measures and indicators that reflect those principles by October 2013.					BES MT	Mon-31-Mar-14		0%		
Reduction	7/264 - Follow up required actions from staff stress survey.					BES MT	Tue-31-Dec-13		50%		
Reduction	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.					BES MT	Mon-31-Mar-14		0%		
Reduction	7/375 - Fully contribute to the 2020 NY programme planning phase to December 2013.					BES MT	Tue-31-Dec-13		0%		
Reduction	7/376 - Review and implement outcomes of BES Senior Managers away-day where actions were noted to improve ways of working – e.g. need to improve empowerment of staff.					BES MT	Tue-31-Dec-13		0%		
Reduction	7/377 - Carry out formal post implementation review of the current and reduction actions for 2013/14 and agree future actions required.					BES MT	Fri-31-Jan-14		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	L	Category	3
Phase 5 - Fallback Plan											
								Action Manager			
Fallback Plan	7/539 - Review approach to cultural change management.							CD BES			

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Phase 1 - Identification											
Risk Number	7/26	Risk Title	7/26 - Delivery of Future Savings				Risk Owner	CD BES		Manager	AD SR & Perf
Description	Failure to deliver existing (MTFS, MTFS2) savings required of the Directorate resulting in overspends, cuts to services, reduced performance, internal / external criticism					Risk Group	Change Mgt		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures			Savings programme developed, political agreement and acknowledgement of risks, Performance Management framework development, BES Transformation Steering Group, Performance Management Review in BES, BES MT engagement on budget and One Council approach, Transformation and VFM, 4 year programme, ICT Strategy.						Effectiveness		
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	7/97 - Support the Forward Together initiative and carry out implementation programme for BES						BES MT	Mon-31-Mar-14		0%	
Reduction	7/447 - Regular monitoring of savings at BESMT and Executive Members as part of monthly budget cycle using the finance register and RAG statements as management tools.						AD SR & Perf	Mon-31-Mar-14		0%	
Reduction	7/448 - Review of further efficiency and savings opportunities throughout the next 2 years as part of BES MT discussions						AD SR & Perf	Mon-31-Mar-14		0%	
Reduction	7/449 - Performance Management Review of Transformation work to aid identification of efficiency opportunities						AD SR & Perf	Fri-28-Feb-14		0%	
Reduction	7/450 - Deliver savings plan as agreed in MTFS / Budget 2						AD SR & Perf	Mon-31-Mar-14		0%	
Reduction	7/451 - Ensure appropriate allocation of resources						AD SR & Perf	Mon-31-Mar-14		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
							Action Manager				
Fallback Plan	7/76 - Reductions in budget achieved through further cuts in service rather than efficiency savings and increase charges						CD BES				
Phase 1 - Identification											
Risk Number	7/23	Risk Title	7/23 - Major Incident and Service Continuity				Risk Owner	CD BES		Manager	CD BES

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Description	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, internal infrastructure breakdown resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to the transport network				Risk Group	Performance	Risk Type				
Phase 2 - Current Assessment											
Current Control Measures	Leadership of BES Management Team and appropriate lead manager, work with other appropriate partners, appropriate major incidents and service plans, inspection monitoring programmes, systems resilience & back up arrangements in place, service continuity plans and testing are in place, silver command exercises in Highways and Transportation, implementation of solutions based upon lessons learned from previous major incidents.						Effectiveness				
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	7/98 - On-going review, standardisation and update of service continuity plans					AD SR & Perf	Sat-31-May-14		0%		
Reduction	7/374 - Ensure that resources are flexible enough to manage unexpected major incidents					BES MT	Sat-31-May-14		0%		
Reduction	7/444 - Continually review procedures plans and training					BES MT	Sat-31-May-14		0%		
Reduction	7/445 - Further re-allocation of resources and request for Corporate support					BES MT	Sat-31-May-14		0%		
Reduction	7/446 - Annual live or desk top exercises to test plans					BES MT	Sat-31-May-14		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	7/75 - Review the plans, media management, advise Members										CD BES

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Phase 1 - Identification											
Risk Number	7/7	Risk Title	7/7 - Statutory Duties				Risk Owner	CD BES		Manager	CD BES
Description	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.					Risk Group	Performance		Risk Type		
Phase 2 - Current Assessment											
Current Control Measures	Service plans, service unit risk registers, allocation of responsibility training for key staff, prof. bodies incl. HSE, CPD, CDM, RMWGs, routine inspections, contractor selection procedure, 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 procedures, record of decision actions, audit and review of procedure/compliance, inspections, actions, training, corporate policies and procedures and champions, services to employ sufficient numbers of professionally trained/qualified officers.							Effectiveness			
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	7/458 - Ensure that the current H+S procedures are audited to ensure compliance.						CD BES	Sat-31-May-14		0%	
Reduction	7/459 - Review the H+S arrangements of Contractors and Partner organisations.						BES AD H&T	Sat-31-May-14		0%	
Reduction	7/460 - Develop incident plan for incidents relating to former landfill sites.						BES AD W&CS	Tue-31-Dec-13		0%	
Reduction	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis.						BES MT	Sat-31-May-14		0%	
Reduction	7/462 - Review incidents and develop action plans.						BES MT	Sat-31-May-14		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
									Action Manager		
Fallback	7/78 - Implement appropriate management and contingency plans, review priorities and reprioritise service delivery, media									CD BES	

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Plan	management.										
Phase 1 - Identification											
Risk Number	7/22	Risk Title	7/22 - LEP - business as usual				Risk Owner	CD BES	Manager	BES AD EPU	
Description	Failure of LEP to work effectively as public/private partnership resulting in loss of reputation and ability to engage with Central Government to attract funding and economic opportunities.					Risk Group	Partnerships	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			LEP Board, agreed draft priority themes, development of EPU, high profile and influential private sector Chairman, Action Plan, £9m Growing Places Investment Fund attracted, governance arrangements in place, comprehensive business plan in place and being implemented, consideration and pursuit of funding opportunities in place, £8.6M Growing Places Fund allocated.					Effectiveness			
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed	%		
Reduction	176/291 - Continue to implement a comprehensive business plan to facilitate the delivery of LEP objectives.					BES AD EPU	Sat-31-May-14		0%		
Reduction	176/292 - Continue to develop working relationships with Public Sector partners					BES AD EPU	Sat-31-May-14		0%		
Reduction	176/293 - Continue to develop working relationships with key private sector businesses					BES AD EPU	Sat-31-May-14		0%		
Reduction	176/298 - Continue to monitor National and European funding opportunities					BES AD EPU	Sat-31-May-14		0%		
Reduction	176/299 - Continue to monitor governance arrangements					CD BES	Sat-31-May-14		0%		
Reduction	176/305 - Maintain strong working relations with City of York Council					BES AD EPU	Sat-31-May-14		0%		
Reduction	176/320 - Develop a Strategic Economic Plan to maximise the share of the national, competitive Single Local Growth Fund and EU Structural & Investment Funding attracted. The plan will collaborate and consult across NYCC internally and wider NY partners to maximise the economic impact.					BES AD EPU	Mon-30-Sep-13		0%		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
										Action Manager	

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Fallback Plan	7/74 - Press engagement to mitigate our involvement and continue to work in partnership with all sectors.							CD BES			
Phase 1 - Identification											
Risk Number	7/28	Risk Title	7/28 - Performance				Risk Owner	CD BES	Manager	AD SR & Perf	
Description	Failure to improve/maintain key performance areas, service scorecards / performance reports items, resulting in reduction in service and loss of reputation. Failure could result from capability and/or a lack of resources.					Risk Group	Communication/Performance	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures	Quarterly PIs monitoring reports to BES MT + Performance Management Review, specific action plans where appropriate, emphasised in appraisals as a key Directorate issue, Performance and Transformation Steering Group, well developed links with sub national groups and decision makers, complete review of KPIs.							Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	7/88 - Identify what the key performance areas are based on contribution to council and BES service objectives / impact on customer outcomes. Develop alongside the 'future council' initiative as well as the new performance reports / scorecards for BES.						BES MT	Thu-31-Oct-13		50%	
Reduction	7/89 - Regular monitoring of performance in BES through newly developed scorecards / performance reports ensuring that learning is a key element of the approach to ensure corrective action taken, good practices shared, etc.						AD SR & Perf	Thu-31-Oct-13		0%	
Reduction	7/90 - Truly embed performance management across BES including teams and individuals utilising the work of the corporate review, including internal peer review programme.						BES MT	Mon-31-Mar-14		0%	
Reduction	7/142 - Review and revise presentation of performance information across the Directorate in line with corporate performance management framework and locally driven performance reports. A number of strands are being considered as part of that review, such as BI, behaviours and skills, service planning, scorecards, dashboards, use of Sharepoint, etc.						AD SR & Perf	Mon-30-Sep-13		60%	
Reduction	7/479 - Continue to make improvements following outcomes of corporate performance management review as relevant.						AD SR & Perf	Mon-31-Mar-14		30%	

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Reduction	7/480 - Further develop and implement a front line performance programme.	BES MT	Mon-31-Mar-14		0%						
Reduction	7/481 - Assess current performance, performance indicators and risks across the Directorate.	AD SR & Perf	Mon-31-Mar-14		30%						
Reduction	7/482 - Use performance management results/outcomes as a tool to improve performance.	AD SR & Perf	Tue-31-Dec-13		0%						
Reduction	7/483 - Monthly monitoring of KPIs, with follow up actions as necessary.	AD SR & Perf	Mon-31-Mar-14		50%						
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	7/82 - Reprioritise BES resources to address deficiencies and reassess approach to performance management in liaison with corporate work. Continue to utilise relevant current / previously used KPI data as an indicator of performance should the new performance reports not deliver as expected.									CD BES	

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Phase 1 - Identification											
Risk Number	7/27	Risk Title	7/27 - Transport					Risk Owner	CD BES	Manager	BES AD IPT
Description	Failure to deliver effective transport functions that meet the requirements of internal clients (Directorates) and maximises opportunities for service improvement and financial efficiencies (financial impact ranked Corporately).						Risk Group	Performance	Risk Type		
Phase 2 - Current Assessment											
Current Control Measures	Area approach to procurement, regular management info for Directors and Members, supplier management and ongoing inspection programme, engagement with Directorates through Transport Board, new governance arrangements for Transport Board, partnership working with operators and voluntary sector, benchmarking confirmed good practice, maintenance charges reviewed and new process implemented.							Effectiveness			
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	M	Category	4
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed	%	
Reduction	7/176 - Further develop co-ordination with Community Transport providers						BES AD IPT	Sat-31-May-14		0%	
Reduction	7/426 - Establish One Council control through Transport Board for transport issues						BES AD IPT	Fri-31-May-13	Fri-31-May-13	100%	
Reduction	7/434 - Review of special school transport in and out of County (annual)						BES AD IPT	Sat-31-May-14		0%	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	M	Category	5
Phase 5 - Fallback Plan											
							Action Manager				
Fallback Plan	7/79 - Review processes and procedures						CD BES				

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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		
□	7/173 - Minerals and Waste Development Framework	Failure to develop a Minerals and Waste Development Framework by end of October 2015 as the basis for development control decision-making resulting in risk of legal challenge through judicial review, appeals with resulting financial and workload implications, failure to support wider Corporate procurement, adverse implications for the local economy, risk of National Government passing on European fines.	CD BES	BES AD TS&P	M	H	M	M	H	2	5	28/02/2014	M	H	M	M	H	2	N	
□□	7/30 - Procurement and Contract Management	Failure to implement challenging and effective contract procurement and management leading to internal / external criticism and sub optimal use of resources (e.g. Highways Maintenance, Engineering Services, Waste and IPT contracts).	CD BES	BES MT	M	M	H	L	M	2	7	30/11/2013	L	M	H	L	M	3	Y	CD BES
□	7/18 - Waste Strategy	Failure to deliver the current Waste Strategy.	CD BES	CD BES	M	M	H	L	H	2	8	30/09/2013	L	M	H	L	M	3	Y	CD BES
□□	7/24 - Capital Programme	Poor management of capital programme including BALB, LEP, LTP, LSTF, RFA, LTB, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.	CD BES	AD SR & Perf	M	M	H	M	M	2	12	31/08/2013	L	M	H	M	M	3	Y	CD BES
□□	7/189 - Major Schemes	Failure to agree prioritised programme of schemes for	CD BES	BES AD H&T	M	M	H	L	M	2	7	31/07/2013	L	M	H	L	M	3	Y	CD BES

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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		
	Capital Devolved Funding	submission to the Department for Transport and manage the programme effectively results in inability to deliver major scheme improvements and potential legal and financial impact upon the County Council given its role as accountable body.																		
- new -	7/201 - Tour de France	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de France in North Yorkshire in 2014 results in significant adverse publicity and potential legal and financial impact upon the County Council.	CD BES	BES AD H&T	M	L	H	M	H	2	7	31/10/2013	L	L	H	M	H	3	Y	CD BES
□ □	7/174 - Leeds City Region Area Overlapping Boundaries	The Leeds City Region Area has a complex mixture of overlapping boundaries relative to economy, planning, transport and infrastructure, which may not have a positive impact or may prejudice outcomes for North Yorkshire residents as a whole, resulting in missed opportunities or funding for North Yorkshire.	CD BES	CD BES	M	L	H	L	L	2	4	31/05/2014	M	L	M	L	L	4	N	

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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		
□□	7/175 - Cultural Change including previous One Council and new 2020 NY programmes	Failure to effectively manage cultural change resulting in adverse impact on service delivery, inability to fully meet current and future financial requirements and not able to fully deliver any changes under the 2020 North Yorkshire programme..	CD BES	BES MT	L	H	H	H	L	3	7	31/12/2013	L	H	H	H	L	3	Y	CD BES
□	7/26 - Delivery of Future Savings	Failure to deliver existing (MTFS, MTFS2) savings required of the Directorate resulting in overspends, cuts to services, reduced performance, internal / external criticism.	CD BES	AD SR & Perf	L	M	H	M	M	3	6	28/02/2014	L	M	H	M	M	3	Y	CD BES
□□	7/23 - Major Incident and Service Continuity	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, internal infrastructure breakdown resulting in the need to deliver additional service in order to ensure effective enforcement / containment and minimal disruption to the transport network.	CD BES	CD BES	L	M	H	H	M	3	5	31/03/2014	L	M	H	H	M	3	Y	CD BES
□□	7/7 - Statutory Duties	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe	CD BES	CD BES	L	M	M	M	H	3	5	31/12/2013	L	M	M	M	H	3	Y	CD BES

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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		
		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.																		
□	7/22 - LEP - business as usual	Failure of LEP to work effectively as public/private partnership resulting in loss of reputation and ability to engage with Central Government to attract funding and economic opportunities.	CD BES	BES AD EPU	L	L	H	L	M	3	7	30/09/2013	L	L	M	L	M	5	Y	CD BES
□	7/28 - Performance	Failure to improve/maintain key performance areas, service scorecards / performance reports items, resulting in reduction in service and loss of reputation. Failure could result from capability and/or a lack of resources.	CD BES	AD SR & Perf	M	M	M	M	M	4	9	30/09/2013	L	M	M	M	M	5	Y	CD BES
□□	7/27 - Transport	Failure to deliver effective transport functions that meet the requirements of internal clients (Directorates) and maximises opportunities for service improvement and financial efficiencies (financial impact ranked Corporately)	CD BES	BES AD IPT	M	M	M	M	M	4	3	31/05/2014	L	M	M	M	M	5	Y	CD BES

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