

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

4 DECEMBER 2014

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 actively monitored, the BES Management Team considers performance, finance, Statement of Assurance, Risk Register and internal audit reports on a regular basis.

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 2014/15 together with proposed actions. 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)

These categories are relative and not absolute assessments. The DRR represents the principal risks being managed in BES that may materially impact on the performance and financial outcomes of the Directorate.

- 4.3 The latest summary DRR is shown at **Appendix B**. This shows a range of key risks and the risk reduction actions designed to minimise them together with a ranking of the risks both at the present time and after mitigating action.
- 4.4 The detailed DRR is attached at **Appendix C**. As well as providing a quick overview of the risks and their ranking, it also provides details of the change or movement in the ranking of the risk since the last review in the left hand column.
- 4.5 A review of the BES DRR took place at the end of September and signed off by the Directorate Management Team. A further formal update review of the register will take place in February / March 2015.
- 4.6 Since the last report to the Audit Committee significant achievements in relation to items on the DRR include:

Long Term Waste Strategy

Financial Close has been achieved on the Waste PPP at the end of October 2014. The deal secured was £8m better than that reported to the special County Council meeting in terms of the value for money assessment.

Local Enterprise Partnership

£110m of Growth Deal funding was secured through the LEP Strategic Economic Plan (SEP). Underpinning the SEP are three plans focussed on business growth, skills and infrastructure. With ambitions to create 20,000 jobs, £3bn growth, double house building rates, connect every student to business and connect the East and West of our region, the challenges are enormous. Efforts are focussed on delivering this plan whilst ensuring that the governance of the programme is sound and robust. The latter is critical to protect the position of the County Council as Accountable Body to the LEP.

MTFS Savings Programme

The previous MTFS savings target to the end of 2014/15 has been fully achieved. Focus is now firmly on achieving the current savings targets as set out in the 2020 North Yorkshire Programme.

Tour de France

The Tour de France event was delivered and was a success. A report, on the economic impact of the event is expected in December 2014. Additional risks were taken on when the County Council becoming the Event Organiser. These risks were managed effectively.

- 4.7 As noted above, significant progress has been achieved against a number of significant risks faced by the Directorate. However, a number of risks remain and below are the areas for particular focus:

Long Term Waste Strategy

With financial close achieved, focus now switches to the delivery of the long term Waste Service Strategy. This includes implementing revised arrangements with Yorwaste becoming 'Teckal' compliant from 1 April 2015.

2020 North Yorkshire

The Directorate is focussed on achieving its programme of service delivery, cultural change and savings targets. Management and monitoring arrangements are in operation and this includes playing a key role in the cross-cutting themes of the programme, working with other directorates and ensuring a customer focus is maintained.

Local Enterprise Partnership

It is important that the County Council engages effectively with the LEP to ensure that its work supports the economic development aims of the County Council. Discussion with other directorates regarding the Strategic Economic Plan aimed at identifying areas/activities with common objectives to maximise opportunities for the County Council. These are primarily focussed on economic growth, health and wellbeing and sustainable communities.

Capital Programme

The Directorate delivers a substantial capital programme each year on an asset valued at over £9bn. The highest risk at the moment is the delivery of the Bedale-Aiskew-Leeming Bar Bypass scheme. With an estimated total cost of £35m this represents significant financial risk. Within this the key specific risk is that any slippage on grant funding from the Department for Transport in 2014/15 cannot be recovered in future years. The immediate priority has therefore been to mobilise the contractor on-site to minimise this risk. Current projections indicate no additional net cost for the County Council. However, the nature of this type of scheme requires constant active management to ensure that the risk continues to be minimised or avoided completely. Project management arrangements are in place including a Project Board chaired by the Corporate Director, BES with support from Finance and our design consultant; the contractor also sits on this Board.

5.0 RECOMMENDATIONS

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

21 November 2014

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 2014
<p>A 2020 North Yorkshire The County Council is embarking on a major programme of work as we look ahead to 2020 and how we adapt to our operating environment.</p> <p>Key areas of focus for the BES directorate include:</p> <p>Achieve savings target of £12.2m, whilst mitigating the service impact of these reductions through effective collaboration with colleagues in the County Council, partners and our communities.</p> <p>Deliver the BES programme of work as set out in the 2020 North Yorkshire approved programme.</p>	<p>(a) Deliver savings target of £12.2m over the four year period from 2015/16 to 2018/19.</p> <p>(b) Monthly monitoring of project and programme progress, risk and success, including savings targets, by the BES Transformation Team, made up of lead project managers from respective Service Units. Monitoring is against specified benefits and is coordinated by the Programme Manager who reports directly to the Corporate Director – BES, as well as providing reports to the BES Management Team.</p> <p>(c) Continue to contribute to the 2020 North Yorkshire Programme in terms of the cross-cutting themes and general work for the Programme for the benefit of the whole organisation. Critically, this includes ensuring that</p>	<p>There is currently a predicted shortfall of £560k against the original savings programme. However, potential alternative actions/savings being considered and put forward for decision.</p> <p>Robust monitoring of progress has been in operation from the start of the financial year, led by the Programme Manager. Reports are regularly taken to the BES Management Team for discussion and agreement on the position and any necessary actions.</p> <p>Active participation in the management of the 2020 North Yorkshire Programme continues, including cross-cutting themes and cross-directorate impacts and dependencies. This has included close working with HAS in relation to Public Health objectives and how BES can support their delivery.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2014
	dependencies and impacts of and on BES projects on the wider organisation programme are identified and managed appropriately in conjunction with other directorate colleagues.	
<p>B Capacity and Resilience Further reductions in funding / resources on top of significant reductions made over the last MTFS period require sound management to ensure that the Directorate retains capacity to deliver approved service levels and statutory duties.</p> <p>Develop resource planning to establish relationship of staffing levels to future service output.</p>	(a) Review staff capacity against service delivery requirements and incorporate into future savings plans and resource plan.	Services are developing priority matrices, where relevant for various services to deliver savings whilst helping to ensure that key priorities and statutory duties will be met. Opportunities are being sought to attract additional funding to support existing services and help to retain as much resilience in the overall service as possible. This includes funding from the Local Enterprise Partnership to support mutual economic objectives and other external grants/income.
<p>C Information Governance In 2013 four BES occupied office locations were subject to an internal information security compliance check. Of the four locations checked two of these were found to have “moderate</p>	(a) Teams will carry out ‘self-audits’ on a minimum quarterly basis.	Self-audits are co-ordinated and undertaken by services directly to ensure full ownership of this process. Reviews of the results will be co-ordinated during the final quarter.

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2014
<p>assurance” and two locations were found to have “limited assurance.”</p> <p>The directorate immediately responded to these findings through reinforcing the importance of information security, investment in physical security controls and management action at an individual level for serious issues identified.</p> <p>The area of focus for BES will be the continuous improvement of information management through raising awareness, installing appropriate measures and monitoring the effectiveness of those controls.</p>	<p>(b) Continue to remove any constraints to effective information management both in physical and digital environments.</p> <p>(c) Continue to raise awareness through mandatory training and developments emanating from the Corporate Information Governance Group framework.</p> <p>(d) Continue to identify and maintain a register of key information assets for BES detailing security levels and appropriate controls.</p>	<p>Steps were taken to ensure the security of information and assets containing it (e.g. laptops) through putting in place lockable storage, including key safes. Actions are ongoing should any further requirements be identified.</p> <p>Current mandatory training ensures that the right people are given the correct level of information governance training. As part of ensuring this continues, the future training programme is to be based on posts and their requirements rather than on individuals.</p> <p>The register is continues to be maintained. It has become large, with some 1,300 assets recorded – this is in the process of being consolidated to make it more fit for purpose and in line with recommendations from Internal Audit.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED			
BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE			
Areas for improvement in 2013/14		Action proposed	Progress To November 2014
D	<p>Waste Management Strategy Deliver the Waste Strategy including:</p> <p>Progress the Allerton Waste Recovery Park (AWRP) project to a conclusion.</p> <p>Continue to contribute to the YNY Waste Partnership in helping to deliver an updated strategy for minimisation, reuse, recycling and disposal.</p>	<p>(a) Identify procurement options and potential timeline for alternatives to landfill.</p> <p>(b) Continue to work with Yorwaste and other contractors to develop and deliver a strategy for effective management of waste disposal across North Yorkshire including procurement of interim waste management services effective from 1 April 2015.</p> <p>(c) Develop and implement revised working arrangements with Yorwaste and prepare for the company becoming 'Teckal' compliant from 1 April 2015.</p>	<p>Financial Close was achieved on 30 October 2014 following approval to proceed from County Council on 24 September. Financial Close was delivered within the approved value for money envelope, with the final contract price approximately £8million (NPV) better than reported to Council.</p> <p>Interim waste management services are in procurement and on target to be implemented from 1 April 2015.</p> <p>Work is progressing with Yorwaste (including the development of an alternative value for money framework) to enable provision of services by Yorwaste from April 2015 through the 'Teckal' exemption from competitive procurement.</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2014
<p>E Performance and Contract Management One of the cross cutting themes of 2020 North Yorkshire is Organisational Development. This includes key elements of performance management of staff. To maximize future performance with reducing resources, the BES directorate must play a full role in this work and implement improvements across the directorate.</p> <p>The HMC 2012 contract will be in its third year in 2014/15. National experience shows that it is common for there to be problems associated with the transition from one large term maintenance contract to another and it is accepted that there have been difficulties. The latest audit carried out in the final quarter of 2013/14 provided a 'moderate' assurance rating and recognises that although significant progress has been made, further improvement actions are necessary.</p>	<p>(a) Work directly with the lead officer for Organisational Development to ensure that BES issues are incorporated into the work and outcomes are fully implemented.</p> <p>(b) Ensure that good progress is made against the actions contained in the highways North Yorkshire (hNY) improvement action plan to achieve improved value for money. The action plan contains improvements such as the on-going delivery of a programme of training and development to improve and embed understanding of the contract and the development of better performance information to improve performance management of the services provided through the contract.</p>	<p>BES representation exists on all Organisational Development work. It has also twice been the subject of discussion at BES senior manager workshops as part of ensuring BES are active in this critical aspect of the 2020 North Yorkshire Programme.</p> <p>There has been some good progress against the hNY Improvement Action Plan (hNY IAP). Examples are noted below.</p> <p>The hNY Improvement Action Plan (IAP) and hNY Risk Register are both reviewed/updated on a quarterly basis at a Strategic Management Group, chaired by the Assistant Director of Highways.</p> <p>Monthly joint improvement meetings under the banner of 'Project SMARTER' continue to be held to manage the various people, process and system issues. A Decision and Action Log is routinely revisited to track progress by action owners against deadlines.</p> <p>An ICT Development Plan has been agreed</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2014
		<p>with Ringway's ICT Director and is also maintained as part of Project SMARTER. This typically includes the testing and 'Go Live' of system upgrades/improvements. System interfacing is also considered as part of the wider 2020 Finance and ORACLE upgrades, together with the development of a Highway Management Information System (HMIS) strategy.</p> <p>As part of the 2020 North Yorkshire project, a 'LEAN' Review of the Basic Maintenance function was jointly undertaken in November 2014 to look at how works ordering, coordination, delivery and payment can be made more efficient.</p> <p>During 2014, many process maps have been jointly developed, agreed and uploaded to various systems for all hNY Partners to use. This includes the mapping of a scheme, covering a 3 year timeline, from inception, to decommissioning and the various control processes in between. Work is on-going to prioritise the more 'operational' process maps.</p> <p>One of the 5 Themes of the hNY IAP covers training and the delivery of a SMG agreed</p>

STATEMENT OF ASSURANCE

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		<p>'Training Matrix'. Examples of training given include the NEC3 Form of Contract, hNY Workshop in September 2014 and 'HMC 2012 Contract Fundamentals' training in October/November 2014 – predominantly covering Payment, Valuation and Scheme Sign Off.</p> <p>Ringway's Operations Hub now produces a weekly Area Performance Matrix highlighting performance for each one including works orders placed and completed This continues to be developed but is starting to inform weekly meetings in terms of trends and useful management information.</p> <p>The validation of Contract Performance Indicators (CPIs) is now an on-going task, rather than being left until the month or so prior to the annual Evaluation Panel (held in May).</p>
<p>F Major Projects The Yorkshire elements of the Tour de France Grand Depart took place on 5 and 6 July 2014. The County Council, along with all other participating local authorities, was an 'Event Organiser'.</p>	<p>(a) Manage the new risks associated with becoming the event organiser of the Tour de France.</p>	<p>The event was successfully delivered with no major incidents. There have been a very small number of minor claims which are being dealt with by the Insurance Team. Any claims not relating to the County Council's responsibilities</p>

STATEMENT OF ASSURANCE

AREAS FOR IMPROVEMENT IDENTIFIED BUSINESS & ENVIRONMENTAL SERVICES DIRECTORATE		
Areas for improvement in 2013/14	Action proposed	Progress To November 2014
<p>That brought with it additional responsibilities, specifically in relation to developing a robust event management plan, managing crowd safety and responsibility for volunteers. To mitigate associated risks, the County Council procured the support of a specialist event management company.</p> <p>Full approval was sought from the Department for Transport for the Bedale Aiskew Leeming Bar Bypass (BALB). It was awarded and robust contract management arrangements are required to ensure delivery of the project on time and to budget, and in such a way that minimises financial and reputation risks to the County Council.</p>	<p>(b) A one off event insurance policy was put in place to cover the County Council and district councils against additional liabilities.</p> <p>(c) Set up and operate sound contract management arrangements for the BALB project incorporating design, construction and financial aspects of the project.</p>	<p>are being firmly rejected. A report on the economic impact of the event is due in December 2014.</p> <p>Arrangements are in place and being further developed with the contractor for BALB. The immediate priority has been to mobilise the contractor on site to ensure that the maximum level of grant from the Department of Transport is utilised. This reflects the main risk item on the scheme, which is that any unspent grant in 2014/15 cannot be claimed in a future year by the County Council. All efforts will continue to ensure this risk is avoided or minimised.</p>

BES Directorate

Risk Register: Month 0 (Sept 2014) – summary
Report Date: 27th October 2014 (cpc)

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		
◀▶	7/18 - Long Term Waste Service Strategy	Failure to deliver the long term waste service strategy	CD BES	CD BES	M	L	H	L	H	2	15	31/10/2014	L	L	H	L	H	3	Y	CD BES
◀▶	7/24 - Capital Programme	Ineffective 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	9	28/02/2015	L	M	H	M	M	3	Y	CD BES
- new -	7/189 - Delivery of transport schemes within the LEP's Strategic Economic Plan	Failure to deliver the programme of transport schemes within the LEP's Strategic Economic Plan results in reputational damage to the County Council and impacts upon the potential to secure funding for transport schemes in future rounds of the Local Growth Fund. There is a direct role for H&T to deliver the schemes promoted by the County Council, but also a supporting role to assist third party scheme promoters specifically the district councils.	CD BES	BES AD H&T	M	M	H	L	H	2	3	30/11/2014	L	M	H	L	H	3	Y	CD BES
▲	7/7 - Statutory Duties	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.	CD BES	CD BES	M	M	M	M	H	2	5	31/12/2014	L	M	M	M	H	3	Y	CD BES
◀▶	7/174 - Leeds City Region Area combined authorities and overlapping boundaries	The Leeds City Region Area has a complex mixture of combined authorities with 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	31/05/2015	M	L	M	L	L	4	N	

BES Directorate




Risk Register: **Month 0 (Sept 2014) – summary**

Report Date: 27th October 2014 (cpc)

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	31/12/2014	L	M	M	M	M	5	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	L	M	H	L	M	3	8	31/12/2014	L	M	H	L	M	3	Y	CD BES
◀▶	7/175 - Cultural Change including 2020 North Yorkshire programme	Failure to effectively deliver the BES 2020 Programme including the required cultural change resulting in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.	CD BES	BES MT	L	H	M	H	L	3	7	30/06/2015	L	H	M	H	L	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	30/06/2015	L	M	H	H	M	3	Y	CD BES
- new -	7/201 - Tour de Yorkshire	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de Yorkshire in North Yorkshire in 2015 &/or significant adverse publicity around hosting the event resulting in potential reputational, legal and financial impact upon the County Council.	CD BES	BES AD H&T	L	L	M	M	H	3	6	1/12/2014	L	L	M	M	H	3	Y	CD BES
- new -	7/22 - Interaction with the LEP	Failure to fully engage with the LEP to ensure its work supports the economic development aims of the Council.	CD BES	BES AD EPU	L	L	H	L	M	3	6	30/04/2015	L	L	M	L	M	5	Y	CD BES

BES Directorate

Risk Register: **Month 0 (Sept 2014) – summary**
Report Date: 27th October 2014 (cpc)

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



BES Directorate

Risk Register: Month 0 (Sept 2014) – detailed
Report Date: 27th October 2014 (cpc)

Phase 1 - Identification											
Risk Number	7/18	Risk Title	7/18 - Long Term Waste Service Strategy			Risk Owner	CD BES		Manager	CD BES	
Description	Failure to deliver the long term waste service strategy				Risk Group	Performance		Risk Type	W&CS 14/33		
Phase 2 - Current Assessment											
Current Control Measures		Strategic group; officer group (strat and proc); PPP 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 to agree decision making process; CYC and NYCC Council approvals to award PPP Contract; planning advisor; contractor appointed; planning permission granted subject to Judicial Review; soft market testing of interim solutions carried out; Teckal with Yorwaste agreed; Exec agreed recommendation to council; Plan for procurement of interim arrangements; County Council sign off; Technical review incl. engineering to minimise long term contract costs with Amey Cespa; Project funding and explored all alternatives & options with Amey Cespa; Continual review of waste flow; Section 151 officer sign off;						Effectiveness			
Probability	M	Objectives	L	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 - with Amey Cespa				BES AD W&CS		Thu-31-Jul-14		Sat-31-May-14		
Reduction	7/174 - Continue to ensure sufficiency of budget provision and strategy for Waste PPP (ongoing review)				Waste Strategy Finance Lead		Mon-31-Aug-15				
Reduction	7/427 - Progress project funding with Amey Cespa and fully explore all alternative and options - with Amey Cespa				Waste Strategy Finance Lead		Thu-31-Jul-14		Sat-31-May-14		
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		Mon-31-Aug-15				
Reduction	7/429 - Implement a Teckal approach to the Waste Services Procurement 2015				BES AD W&CS		Tue-31-Mar-15				
Reduction	7/430 - Obtain Members' sign off based on detailed VFM assessment and details of the business case				CD BES		Wed-24-Sep-14		Wed-24-Sep-14		
Reduction	7/431 - Procurement &/or delivery of agreed front end facilities				BES AD W&CS		Tue-31-Mar-15				
Reduction	7/432 - Continual review of waste flow to inform future strategy (ongoing)				CD BES		Thu-31-Jul-14		Sun-31-Aug-14		
Reduction	7/439 - Continue with procurement of interim arrangements (4 years)				BES AD W&CS		Mon-31-Aug-15				
Reduction	7/447 - Publish OJEU notice and review any challenge				BES AD W&CS		Fri-31-Oct-14				

BES Directorate

Risk Register: **Month 0 (Sept 2014) – detailed**

Report Date: 27th October 2014 (cpc)

Reduction	7/448 - Start a financial close 'dry run' process including affordability and VFM	BES AD W&CS	Fri-31-Oct-14								
Reduction	7/481 - Work with and monitor Amey Cespa contract (construction)	BES AD W&CS	Sat-31-Mar-18								
Reduction	7/482 - Ensure effective contract management arrangements are in place	BES AD W&CS	Tue-31-Mar-15								
Reduction	14/792 - Obtain Section 151 officer sign off from CYC and NYCC	CD BES	Mon-30-Jun-14	Thu-31-Jul-14							
Reduction	14/793 - Maintain PPP project risk register	BES W&CS WSM	Mon-31-Aug-15								
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	7/73 - Rely short term on newly procured arrangements from April 2015, review strategy, media management									Action Manager	CD BES

BES Directorate

Risk Register: **Month 0 (Sept 2014) – detailed**

Report Date: 27th October 2014 (cpc)

Phase 1 - Identification												
Risk Number	7/24	Risk Title	7/24 - Capital Programme				Risk Owner	CD BES		Manager	AD SR & Perf	
Description	Ineffective 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	SR&P 11/6 H&T 9/195		
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; 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; risk register for major schemes; project board for major schemes; IDSG; appropriate actions and contingencies dependent on risks established & reported to BESMT on a regular basis; risk assessment for major schemes; additional and effective highways capital programme resource / manager to drive delivery of the programme implemented; Specific and ongoing training in financial and project management for key BES staff; PIR of major projects; sub group of Capital Projects Board reviews projects when appropriate, contract management health measurement and reporting;						Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	M	Reputation	M	Category	2	
Phase 3 - Risk Reduction Actions												
Reduction	7/175 - Ensure high quality, timely reports to Capital Projects Board and Exec members covering key service and financial risk items					Action Manager		Action by		Completed		
Reduction	7/258 - Operate 2 year LTP works programme ensuring realistic delivery targets and alignment of internal and external delivery resources.					AD SR & Perf		Sat-28-Feb-15				
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.					BES AD H&T		Tue-30-Jun-15				
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		Tue-30-Jun-15				
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		Tue-30-Sep-14		Mon-30-Jun-14		
Reduction	7/420 - Continue project management and gateway approach towards capital schemes.					AD SR & Perf		Sat-28-Feb-15				
Reduction	7/424 - Sub group of Capital Projects Board to review projects when appropriate					BES MT		Tue-30-Sep-14		Tue-30-Sep-14		
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-28-Feb-15				
Reduction	11/182 - Continue to assess current capabilities and put in place any requirements necessary to enable effective delivery of capital projects					AD SR & Perf		Sat-28-Feb-15				
Reduction	11/268 - Provide advice and support for management of the BALB contract					AD SR & Perf		Sat-28-Feb-15				



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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 and procedures; media management; member engagement; intervention by Capital Projects Board									CD BES	



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Phase 1 - Identification												
Risk Number	7/189	Risk Title	7/189 - Delivery of transport schemes within the LEP's Strategic Economic Plan						Risk Owner	CD BES	Manager	BES AD H&T
Description	Failure to deliver the programme of transport schemes within the LEP's Strategic Economic Plan results in reputational damage to the County Council and impacts upon the potential to secure funding for transport schemes in future rounds of the Local Growth Fund. There is a direct role for H&T to deliver the schemes promoted by the County Council, but also a supporting role to assist third party scheme promoters specifically the district councils.						Risk Group	Performance	Risk Type	Dir Only		
Phase 2 - Current Assessment												
Current Control Measures		Programme in place for delivery of County Council promoted schemes; support being provided to the third party scheme promoters; risk analysis for each scheme undertaken; effective engagement with LEP							Effectiveness			
Probability	M	Objectives	M	Financial	H	Services	L	Reputation	H	Category	2	
Phase 3 - Risk Reduction Actions												
							Action Manager	Action by	Completed			
Reduction	7/318 - Continue to engage with the LEP and support them to manage risks associated with specific scheme programmes						CD BES	Tue-30-Jun-15				
Reduction	7/319 - Secure Jacobs resource to support third party scheme promoters						BES AD H&T	Sun-30-Nov-14				
Reduction	7/436 - Ensure sufficient resource in H&T to effectively promote County Council schemes						BES AD H&T	Tue-30-Jun-15				
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	H	Category	3	
Phase 5 - Fallback Plan												
							Action Manager					
Fallback Plan	7/537 - LEP to consider re-profiling Local Growth Fund programme						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	Dir Only		
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 inspecs; contractor selection proc; NYCC legal and safety advisers; annual contractor training; Designated Directorate H&S Manager and support; regular item on BESMT; SMTs; Partnership and contract managers group; Directorate H&S working group; risk assessment; incident feedback; previous risk assessment on most sites; landfill gas perimeter controls; annual review of all sites (monitoring results); regular monitoring; use of consultants; agency staff; documented proc; record of dec. actions; audit and review of proc/compliance, inspecs, actions and training; corporate policies, procedures and champions; services to employ sufficient numbers of professionally trained/qualified officers;						Effectiveness				
Probability	M	Objectives	M	Financial	M	Services	M	Reputation	H	Category	2		
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	Tue-30-Jun-15					
Reduction	7/459 - Review the H&S arrangements of Contractors and Partner organisations						BES AD H&T	Tue-30-Jun-15					
Reduction	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis						BES MT	Tue-30-Jun-15					
Reduction	7/462 - Review incidents and develop action plans						BES MT	Tue-30-Jun-15					
Reduction	14/788 - Develop incident plan for incidents relating to former landfill sites; with AD for sign off						BES W&CS D&O Tm Ldr	Wed-31-Dec-14					
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 Plan	7/78 - Implement appropriate management and contingency plans; review priorities and reprioritise service delivery; media management									CD BES			

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Phase 1 - Identification											
Risk Number	7/174	Risk Title	7/174 - Leeds City Region Area combined authorities and overlapping boundaries					Risk Owner	CD BES	Manager	CD BES
Description	The Leeds City Region Area has a complex mixture of combined authorities with 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						Risk Group	Strategic	Risk Type	Dir Only	
Phase 2 - Current Assessment											
Current Control Measures		Communication and engagement internally within the County Council and with appropriate authorities; the YNYER LEP and Govt depts						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	Sun-31-May-15			
Reduction	7/94 - Engage with Government departments to influence outcomes						BES RUG	Sun-31-May-15			
Reduction	7/262 - Communicate benefits of alternative arrangements that could be complimentary to Leeds City Region						BES RUG	Sun-31-May-15			
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	Sun-31-May-15			
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	7/173	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	TS&P 13/31	
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; Exec approval to change development of Framework date to end of October 2015						Effectiveness		
Probability	M	Objectives	H	Financial	M	Services	M	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/267 - 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			
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			
Reduction	13/519 - Continue to keep budget priorities under review						BES AD TS&P	Sat-28-Feb-15			
Reduction	13/523 - Continue to monitor new developments eg fracking, using planning officers society and peer groups in particular the Duty to Co-operate						BES AD TS&P	Sat-28-Feb-15			
Reduction	13/753 - Launch preferred options consultation						BES AD TS&P	Wed-31-Dec-14			
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											

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Phase 1 - Identification											
Risk Number	7/30	Risk Title	7/30 - Procurement and Contract Management					Risk Owner	CD BES	Manager	BES MT
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	Dir Only	
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 eg Capital Projects Board; regular liaison meetings with partnering contractors and consultants; CPIs/KPIs developed and used to drive performance; regular monitoring of existing controls, highlighting and addressing any issues, contract health reporting in place, BES 2020 NY Procurement Workshop,						Effectiveness			
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/87 - Continue to implement Contract Health Reporting for all major contracts. CPIs and KPIs monitored through monthly hNY Governance meetings.						AD SR & Perf	Tue-30-Jun-15	Mon-30-Jun-14		
Reduction	7/99 - Monitor compliance with CPRs, Risk - based Procurement Gateway Process, supported by monitoring FPP, YORtender and training. CPR Waiver Forms also reviewed and checked for compliance.						BES MT	Tue-30-Jun-15			
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 mtgs, 6 – weekly Procurement KIT mtgs with NYPS and AD, monthly procurement updates on intranet, and feedback e mails after every CPG. BES 2020 NY Procurement Workshop held June 2014						BES MT	Tue-30-Jun-15			
Reduction	7/261 - CSU upskilling of team member through attainment of CIPS Procurement Qualification (Level 4) and redesignation of role. Embedding Directorate Procurement Champion duties within CSU Team Plan and quarterly monitoring of associated performance. Further requirement agreed with AD (H & T) to be implemented during Q3 14/15 – researching MCIPS qualification in line with HA comparator and additional responsibility.						BES H&T HoCS	Wed-31-Dec-14			
Reduction	7/476 - Audit and challenge processes within existing contract management arrangements. Input to review of CPRs, Procurement Manual and associated templates.						BES MT	Tue-30-Jun-15			
Reduction	7/477 - Liaison with NYPS and challenge procurement methods when opportunities exist. Ensure effective use of resources through monitoring of NYPS Resource Plan, coord with BES FPP, promoting the NYPS resource available. Use of NYPS Contract Manager (Fixed Term) to consider HMC 2012, Traffic Signals and IPT contracts						BES MT	Tue-30-Jun-15			
Reduction	7/478 - Challenge contract performance measures and develop more effective performance measures with key clients. CSU to lead review of HMC 2012 CPIs during Sep/Oct 2014						BES MT	Tue-30-Jun-15			
Reduction	7/479 - Implement effective Governance arrangements around the Future Arrangements for BES Engineering and Property Services Post April 2016 and ensure JUK performance until end March 2016. NB Project-specific Risk Register, Project Plan, Mobilisation of new arrangements, demobilisation of existing contract.						BES H&T HoCS	Thu-31-Mar-16			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	L	Reputation	M	Category	3



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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



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Phase 1 - Identification											
Risk Number	7/175	Risk Title	7/175 - Cultural Change including 2020 North Yorkshire programme					Risk Owner	CD BES	Manager	BES MT
Description	Failure to effectively deliver the BES 2020 Programme including the required cultural change resulting in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.					Risk Group	Change Mgt	Risk Type	SR&P 11/10		
Phase 2 - Current Assessment											
Current Control Measures		BES MT; BES Senior Managers awaydays; CD BES Staff Updates; reps on 2020NY workstreams (where still relevant); key messages; cascade of 2020NY vision and approach; monitoring of impacts on performance; monitoring of impacts on savings target; staff stress survey carried out and actions followed up; 2020 North Yorkshire plans submitted; 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 2020NY approach; Transformation and VFM; 4 year programme; ICT Strategy;						Effectiveness			
Probability	L	Objectives	H	Financial	M	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 2020 North Yorkshire programme					BES MT		Tue-30-Jun-15			
Reduction	7/260 - Continue to monitor impacts of BES 2020 Programme including regular surveys of BES staff					BES MT		Tue-30-Jun-15			
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		Tue-30-Jun-15			
Reduction	7/376 - Revisit and implement outcomes of BES Senior Managers awayday where actions were noted to improve ways of working – e.g. need to improve empowerment of staff.					BES MT		Tue-30-Jun-15			
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		Tue-30-Jun-15			
Reduction	7/450 - Deliver savings plan as agreed in MTFS / Budget 2					AD SR & Perf		Tue-30-Jun-15			
Reduction	7/451 - Ensure appropriate allocation of resources					AD SR & Perf		Tue-30-Jun-15			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	M	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	7/23	Risk Title	7/23 - Major Incident and Service Continuity					Risk Owner	CD BES	Manager	CD BES
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	SR&P 11/147	
Phase 2 - Current Assessment											
Current Control Measures			Leadership of BES Management Team and appropriate lead manager; work with other appropriate partners; appropriate major incident 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	Tue-30-Jun-15			
Reduction	7/374 - Ensure that resources are flexible enough to manage unexpected major incidents						BES MT	Tue-30-Jun-15			
Reduction	7/444 - Continually review procedures plans and training						BES MT	Tue-30-Jun-15			
Reduction	7/445 - Further re-allocation of resources and request for Corporate support						BES MT	Tue-30-Jun-15			
Reduction	7/446 - Annual live or desk top exercises to test plans						BES MT	Tue-30-Jun-15			
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	7/201	Risk Title	7/201 - Tour de Yorkshire					Risk Owner	CD BES	Manager	BES AD H&T
Description	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de Yorkshire in North Yorkshire in 2015 &/or significant adverse publicity around hosting the event resulting in potential reputational, legal and financial impact upon the County Council.						Risk Group	Performance	Risk Type	H&T 9/196	
Phase 2 - Current Assessment											
Current Control Measures			NYCC Highways Project Team established; working alongside project manager from WTY, adjacent authorities and NY Police; required highway works have been identified & are being programmed as needed.					Effectiveness			
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/177 - Continue to work & engage with all key partners across the race route (inc North York Moors National Park, Forestry						CD BES	Mon-27-Apr-15			
Reduction	9/192 - Develop an appropriate event plan						BES AD H&T	Mon-30-Mar-15			
Reduction	9/357 - Route preparation including implementing required highway works, and working with statutory undertakers to ensure all utilities apparatus is not causing any risks to the race.-						BES AD H&T	Mon-27-Apr-15			
Reduction	9/361 - Develop a project plan for task to be completed to deliver the event & the associated delivery of the key tasks in accordance with the project plan involving NYCC Directorates as appropriate.						BES AD H&T	Mon-1-Dec-14			
Reduction	9/552 - Deliver the traffic management plan in North Yorkshire under a rolling road closure programme and liaise closely with other TM partners including but not limited to the Police Central Escort Group						BES AD H&T	Mon-27-Apr-15			
Reduction	9/553 - Put in place appropriate staffing arrangements to fulfil the necessary roles over the race weekend						BES AD H&T	Mon-27-Apr-15			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	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 Yorkshire.								CD BES		

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Phase 1 - Identification											
Risk Number	7/22	Risk Title	7/22 - Interaction with the LEP				Risk Owner	CD BES		Manager	BES AD EPU
Description	Failure to fully engage with the LEP to ensure its work supports the economic development aims of the Council.					Risk Group	Partnerships		Risk Type	EPU 176/184	
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; 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 attracted and allocated; £110M secured from Local Growth Fund;						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 - Deliver the economic plan					BES AD EPU		Tue-31-Mar-20			
Reduction	176/292 - Continue to develop working relationships with Public Sector partners					BES AD EPU		Thu-30-Apr-15			
Reduction	176/293 - Continue to develop working relationships with key private sector businesses					BES AD EPU		Thu-30-Apr-15			
Reduction	176/298 - Continue to monitor National and European funding opportunities					BES AD EPU		Thu-30-Apr-15			
Reduction	176/299 - Continue to monitor governance arrangements					CD BES		Thu-30-Apr-15			
Reduction	176/305 - Maintain strong working relations with City of York Council					BES AD EPU		Thu-30-Apr-15			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	L	Reputation	M	Category	5
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	7/74 - Press engagement to mitigate our involvement and continue to work in partnership with all sectors								CD BES		