

North Yorkshire County Council**Audit Committee****20 December 2018****Internal Control Matters for the Business and Environmental Services Directorate****Report of the Corporate Director – Business & Environmental Services****1.0 Purpose of the report**

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

2.0 Background

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

3.0 Directorate Update

- 3.1 The main areas of note for the Directorate are:
 - I. Governance for all Local Enterprise Partnerships continues to be reviewed by MHCLG/BEIS, however a firmer stance has been taken in respect of overlapping boundaries. Whilst the final model for the York, North Yorkshire & East Riding LEP has not been concluded, it is likely it will be different to the current one. NYCC, as the accountable body, is working closely with them and Government. The timing is to have an agreed plan by April 2019 for how the new model will be implemented.
 - II. Following public consultation and Executive approval, the street works permitting project went live in February 2018. Given this is a new way of managing this aspect of the Highway service and there continues to be tight governance arrangements monitoring the extent to which the project is delivering on the business case. The next major milestone as required for DfT will be to conduct a full review of the scheme twelve months following implementation. Early indications are positive in that the business case benefits are being achieved with highway occupancy levels down compared with previous years.

- III. Capital Programme, again whilst this is identified separately within the Directorate Risk Register there are key items of note:
- a. Additional pothole funding – As part of the 2018 Budget, an additional £420m fund was announced to help improve highway maintenance across the country. Of this fund, NYCC was awarded £13.1m plus an extra £600k for Tadcaster Bridge. Given the timing of this announcement being late in the financial year, it is important that BES Capital Programme continues to have strong governance in place to ensure value for money from this fund.
 - b. A1 Junction 47 – Discussions with the developer have been lengthy due to the need for a funding contribution to be brought forward in advance of the development programme. Agreement has now been reached on the funding profile and legal services are progressing the Section 278 agreement.
The agreed programme is for the developer funding contribution to be transferred to NYCC in January 2019. This will enable detailed design of the combined scheme to commence in February 2019 with a start on site in October 2019 after the UCI World Road Cycling Championship 2019. The estimated scheme cost is £5.19m and the breakdown of the funding contribution is noted below:
 - £2.47m - YNYER LEP
 - £1.16m - NYCC
 - £0.56m - Highways England Growth & Housing Fund
 - £1.0m - Developer

In the interim NYCC has been approached by Highways England regarding the possibility of installing temporary signals at junction 47 until the full scheme is implemented. No detail is available for this proposal yet and any decision regarding this proposal would be the subject of a report to the Corporate Director, Business and Environmental Services (BES) and the BES Executive Members.

- IV. In addition to the Tour de Yorkshire in May 2019, the UCI World Cycling Championships will be taking place in Yorkshire from Saturday 21st to Sunday 29th September 2019.
The routes were announced on September 26th 2018, with all events finishing in Harrogate, and start towns across the region, including Harrogate, Ripon, Northallerton and Richmond.
Inevitably some parts of the Tour de Yorkshire route will take in parts of the UCI world cycling championship courses, however where possible we will work with Welcome to Yorkshire to help minimise the number of locations that are impacted by both events.
Whilst not being the event organiser for the World Championships, the County Council is committed to working closely with the event organisers Yorkshire 2019 Ltd to assist in the delivery of a safe and successful event, providing highways support in the traffic management planning process and managing the C3 planning and delivery.
Planning and preparation work for Tour de Yorkshire 2019, will be carried out alongside preparation for the world championships.

4.0 Directorate Risk Register

4.1 The Directorate Risk Register (DRR) is produced initially from a review of risks at Service 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, financial and reputational outcomes of the Directorate.

4.3 The latest detailed DRR is shown at **Appendix A**. 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 A summary of the DRR is also attached at **Appendix B**. 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 was signed off by the Directorate Management Team. A further formal update review of the register will take place in Q4 of 2018/19.

4.6 One new risk has been added to the DRR since November 2017 (date of last progress report to the Committee). As noted in the Directorate Update section above, BES are tracking the risks and associated governance around cycle races in the county notably the UCI World Championships in 2019. Given the profile of this race, the risk has been lifted from the Highways & Transportation service to the Directorate level.

4.7 All other risks have been updated from Service risk registers. The individual assessment of the probability and impacts for these risks may have altered but the overall ranking of the risks has remained the same, apart from two of them which have both deteriorated:

- i. The risk relating to devolution and opportunities for North Yorkshire.
- ii. The long term waste service strategy; the risk has been revised following the operational commencement of the plant. The previous risk was focused on getting the plant into a steady state, the revised risk focuses on getting maximum benefit for the overall system.

5.0 Recommendations

5.1 That the Committee:

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

DAVID BOWE
Corporate Director – Business & Environmental Services

Report prepared by Michael Leah

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/174	Risk Title	7/174 - Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority				Risk Owner	CD BES	Manager	CD BES	
Description	Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across North Yorkshire.					Risk Group	Strategic	Risk Type	EPU 176/211		
Phase 2 - Current Assessment											
Current Control Measures		Devolution proposals submitted to Govt., LEP strategic economic plan in place; NYCC retains the Infrastructure Delivery Steering Group; NYCC wide co-ordination of development needs linked to District plans; local authorities are moving towards a joint committee & considering a combined authority; LA Director group in place; plan detailing powers and funding developed; consensus of Yorkshire local authorities on Devolution geography and opportunities;									
Probability	H	Objectives	H	Financial	H	Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	13/533 - Continue to monitor the Devolution agenda and communication with stakeholders to maximise opportunities (ongoing); the greater Yorkshire geography is being used in some areas of growth work					BES AD GP&TS	Wed-31-Jul-19				
Reduction	176/280 - Gain political support both locally and nationally (ongoing)					Chief Exec	Sun-31-Mar-19				
Reduction	176/320 - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government (consensus of Yorkshire local authorities achieved, support from Govt Minister required)					CD BES	Sun-31-Mar-19				
Reduction	176/460 - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)					Chief Exec	Sun-31-Mar-19				
Reduction	176/469 - Develop detailed business cases for all requirements					Chief Exec	Sun-31-Mar-19				
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	L	Financial	M	Services	L	Reputation	M	Category	4
Phase 5 - Fallback Plan											
Fallback Plan	176/544 - Consider a North Yorkshire deal								Action Manager		CD BES

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/173	Risk Title	7/173 - Minerals and Waste Development Framework					Risk Owner	CD BES	Manager	BES AD GP&TS
Description	Failure to complete the examination process and then adopt the Minerals and Waste Development Framework by the end of March 2019 as the basis for development control decision-making resulting in risk of legal challenge through judicial review, appeals with resulting financial and workload implications, adverse implications for the local economy, risk of National Government passing on European fines						Risk Group	Performance	Risk Type	GP&TS 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 and appointment of consultants to support the work; memorandum of understanding to govern principles of joint working; Exec approval to move date; preferred options consultation completed; publication version of plan launched								
Probability	M	Objectives	M	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 GP&TS	Sun-31-Mar-19			
Reduction	7/319 - Manage plan to address loss of key member of staff; currently managing the loss and keeping staffing capacity under review						BES AD GP&TS	Sun-31-Mar-19			
Reduction	13/54 - Continue to review progress against LDF milestones, review and update milestones as necessary, particularly in light of Duty to Co-operate						BES AD GP&TS	Sun-31-Mar-19			
Reduction	13/519 - Continue to keep budget priorities under review						BES AD GP&TS	Sun-31-Mar-19			
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 GP&TS	Sun-31-Mar-19			
Reduction	13/531 - Respond to extensive list of matters, issues and questions raised by examiner; respond to any further request received during or post the second, fracking related examination period						BES AD GP&TS	Sun-31-Mar-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	13/553 - If plan is deemed to be unsound we would need to recommence the local plan work								Action Manager		
									BES AD GP&TS		

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

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 and support the LEP in the Transport role, 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; Senior Transport Planning Officer (Transport projects) now in post to support the LEP and NYCC in delivery of SEP funded schemes;									
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 (ongoing)						CD BES	Mon-30-Sep-19			
Reduction	7/436 - Continue to ensure sufficient resource in H&T to effectively promote County Council schemes (ongoing)						BES AD H&T	Mon-30-Sep-19			
Reduction	9/538 - Complete review of the major schemes reserve list						BES H&T HoNS	Sun-31-Mar-19			
Reduction	9/583 - Ensure NYCC identify appropriate sources of funding to provide at least a minimum of 15% local capital contribution to the scheme implementation costs						BES AD H&T BES H&T HoNS	Sun-31-Mar-19			
Reduction	9/585 - Ensure framework consultant has sufficient and appropriate resources available to undertake the necessary advanced design of major schemes						BES AD H&T	Sun-31-Mar-19			
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	

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/18	Risk Title	7/18 - Long Term Waste Service Strategy				Risk Owner	CD BES	Manager	BES AD TW&CS	
Description	Failure to further develop the long term waste service strategy (including total system efficiency, realisation of commercial opportunities through increasing recycling, reducing residual household waste, maximising potential through flexibility and reconfiguration to take advantage of opportunities through changes in market conditions, changes in waste composition and changes in consumer behaviour) following delivery of AWRP results in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP					Risk Group	Performance	Risk Type	W&CS 14/168		
Phase 2 - Current Assessment											
Current Control Measures		Waste Strategy in place; NYCC/CoY/Yorwaste working group in place; AWRP; consultants advising on systems; completed review of green waste recycling credits including leading Counsel advice on statutory legislation; Yorwaste intelligence of market conditions and collection costs; waste partnership data on performance and costs; intelligence through networking; network of waste transfer stations; preliminary advice on MT and AD operating costs; access to external advisors; Contract Management Manual/Register of Obligations; suite of monitoring documents in place; Project Board in place; monthly project team meetings; Amey Cespa control of Sub-Contractors; S106 and S278 delivery arrangements in place; Interim framework contract procured; network of Amey Cespa clients; monthly compliance monitoring check; regular review of key dates schedules / programme & register of obligations Waste Transfer: six of seven built (but one not controlled); remaining one has planning permission; agreed approach with districts; existing contracts in place; Yorwaste cooperating; extensive modelling; project board and team including CoYC; agreement for Teckal; collaboration agreements with Craven and Ryedale DCs completed; necessary planning consents for Ryedale secured;									
Probability	M	Objectives	L	Financial	H	Services	L	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	7/373 - Complete feasibility with consultants and modelling of opportunities of single system for waste and incentive for reduced residual waste bin capacity					BES AD TW&CS	Wed-31-Oct-18				
Reduction	7/375 - Engage with Districts and partners to understand constraints and incentives for delivery of a single system for waste					BES AD TW&CS	Sun-31-Mar-19				
Reduction	7/376 - Develop and implement a delivery plan for a single system for waste					BES AD TW&CS	Mon-30-Sep-19				
Reduction	7/377 - Review Government resources and waste strategy and assess impacts and opportunities					BES AD TW&CS	Mon-31-Dec-18				
Reduction	7/419 - Continually review appetite and benefit for separate food waste collections (work with Yorwaste) (ongoing)					BES AD TW&CS	Sat-31-Aug-19				
Reduction	7/420 - Carry out modelling feasibility for separate food waste collections					BES AD TW&CS	Sun-31-Mar-19				
Reduction	14/221 - WT – Continue to explore further opportunities for sharing infrastructure and services eg transfer stations with districts (via collaboration/co-location &/or financial contribution) (ongoing)					BES AD TW&CS	Sun-31-Mar-19				
Reduction	14/1960 - WT - Task and finish working group with Amey & Yorwaste to determine the optimal mixtures of wastes to be delivered to AWRP, WTS network to then be configured to achieve					BES TW&CS WSM	Sun-31-Mar-19				
Phase 4 - Post Risk Reduction Assessment											

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

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Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3
Phase 5 - Fallback Plan											
											Action Manager
Fallback Plan	7/73 - Rely short term on recently procured arrangements, review strategy, media management										CD BES

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

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; prioritisation matrix for resources in place in Trad Stds; training relating to new CDM Regulations for construction work; Incident plan for former landfill sites;								
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 (ongoing)						CD BES	Mon-30-Sep-19			
Reduction	7/459 - Review the H&S arrangements of Contractors and Partner organisations (ongoing)						BES AD H&T	Mon-30-Sep-19			
Reduction	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)						BES MT	Mon-30-Sep-19			
Reduction	7/462 - Review incidents and claims statistics including large losses and develop action plans (ongoing)						BES MT	Mon-30-Sep-19			
Reduction	7/483 - Continue to source and deliver relevant contracts to TS work to mitigate against budget cuts and maintain service resilience (ongoing)						BES AD GP&TS	Mon-30-Sep-19			
Reduction	7/1965 - Work closely with the Data Governance team in Strategic Support to review and update local information governance arrangements (ongoing)						BES MT	Mon-30-Sep-19			
Reduction	7/1966 - Continue to implement awareness raising campaign for information governance (ongoing)						BES MT	Mon-30-Sep-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	7/78 - Implement appropriate management and contingency plans; review priorities and reprioritise service delivery; media management								Action Manager	CD BES	

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/232	Risk Title	7/232 - Growth				Risk Owner	CD BES	Manager	CSD AD SR (ML) BES AD GP&TS	
Description	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure, whilst protecting the outstanding environment and heritage, and within the context and partnership arrangements of two-tier local government structure and wider macro-economic policy and processes. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.					Risk Group	Strategic	Risk Type	GP&TS 13/233		
Phase 2 - Current Assessment											
Current Control Measures			Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; Establishment of an Economic Growth Function within BES; Proactive engagement in LGNYY partnership working including through Directors of Development, Chief Housing Officers, and Economic Development Officer Groups; Lead role in enabling and developing YNYER Spatial Framework; Lead role in supporting and developing the NYCC Infrastructure Delivery Steering Group/Growth Plan Steering Group; Lead role in initiating and developing the NYCC Economic Growth Plan; Work to secure Combined Authority / Devolution deal with Government; NYCC Economic Growth Plan completed and approved by Executive; collaborative working arrangements with District Councils in place; the YNYERH Spatial Framework is in place as a basis for further development work								
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
Reduction	7/1958 - Embed enhanced collaborative working arrangements with District Councils (annual review of progress) - ongoing; this year's review goes to mgt board in August					Action Manager	BES AD GP&TS	Action by	Sun-30-Sep-18	Completed	Sun-30-Sep-18
Reduction	7/1959 - Ensure further detailed stakeholder engagement and development of the YNYER Spatial Framework to enable effective long-term planning and investment of infrastructure for growth.(phase 2); approved by leaders and chief execs, first draft of Framework to be published					Action Manager	BES AD GP&TS	Action by	Mon-31-Dec-18	Completed	
Reduction	7/1960 - Maintain good working relationship with the LEP (ongoing)					Action Manager	CD BES	Action by	Wed-31-Jul-19	Completed	
Reduction	7/1961 - Understand and investigate any impacts of Brexit and ensure opportunities are taken					Action Manager	BES AD EPU CD BES	Action by	Wed-31-Jul-19	Completed	
Reduction	13/532 - Deliver the natural capital investment strategy environmental enhancement project via the Local Nature Partnership; good progress, ready to begin commissioning (LEP/LNP lead)					Action Manager	BES AD GP&TS	Action by	Sun-31-Mar-19	Completed	
Reduction	13/533 - Continue to monitor the Devolution agenda and communication with stakeholders to maximise opportunities (ongoing); the greater Yorkshire geography is being used in some areas of growth work					Action Manager	BES AD GP&TS	Action by	Wed-31-Jul-19	Completed	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	L	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	7/551 - Review and revise existing arrangements for sustainable economic growth								Action Manager		BES AD GP&TS

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/24	Risk Title	7/24 - Capital Programme				Risk Owner	CD BES	Manager	CSD AD SR (ML)	
Description	Ineffective management of capital programme including major schemes, LEP, LTP, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.					Risk Group	Financial	Risk Type	H&T 9/195		
Phase 2 - Current Assessment											
Current Control Measures			Project managers/sponsors for each project; regular financial and programme and project monitoring and reporting of the programmes; operational and strategic management/monitoring, project planning; Gateway training carried out; Capital Projects Board in operation; sub group of Capital Projects Board in place when required, risk assessment carried out in Capital Plan reports feed into MTFs; Finance Officer support to Capital; risk register for major schemes and schemes in the capital works programme; project board for major schemes; Infrastructure Delivery Working Group; Development Management Working Group; appropriate actions and contingencies dependent on risks established and 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; Schemes portal, assurance framework for LEP in place, contract management health measurement and reporting in place; 3 year rolling works programme with realistic targets and alignment of internal and external delivery resources; assurance framework for LEP in place; Improved strategic capital programme monitoring with reporting through hNY tripartite arrangement and H&T service management/reporting structures; specific monitoring of separately funded capital works, eg Pothole Action Fund, LGF and GWB funded works; substantial assurance audit report;								
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/175 - Ensure high quality, timely reports to Capital Projects Board and Exec members covering key service and financial risk items (ongoing)						CSD AD SR (ML)	Mon-30-Sep-19			
Reduction	7/259 - Continue to introduce efficiency measures for capital projects and programmes where relevant – focus on highways capital works programme for structural maintenance taking into account HMEP self assessment outcomes to achieve optimal use of funding (ongoing)						BES AD H&T CSD AD SR (ML)	Mon-30-Sep-19			
Reduction	9/551 - hNY Improvement Action Plan: End to end External Review of the Capital Programme; review of the Capital Programme is on-going to date a Highway Maintenance Investment Tool has been approved; Scheme identification element of the review will be in place for Capital Works Programme schemes for 2020/21						BES H&T HoNS	Wed-31-Jul-19			
Reduction	9/555 - hNY Improvement Action Plan: LEAN review of Capital Programme						BES AD H&T BES H&T HoCS	Sun-31-Mar-19			
Reduction	11/180 - Advice and support for the LEP on financial and partnership governance (ongoing)						CSD AD SR (ML)	Mon-30-Sep-19			
Reduction	11/182 - Continue to assess current capabilities and put in place any requirements necessary to enable effective delivery of capital projects (ongoing)						CSD AD SR (ML)	Mon-30-Sep-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
Fallback Plan	7/72 - Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board								Action Manager		
									CD BES		

BES Directorate

Risk Register: **Month 0 (September 2018) – detailed**

Next Review due: **March 2019**

Report Date: **3rd December 2018 (pw)**

Phase 1 - Identification											
Risk Number	7/244	Risk Title	7/244 - Cycling Events in North 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 and UCI World Championship in North Yorkshire in 2019 &/or significant adverse publicity around hosting these events 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 currently awaiting discussions with WtY to understand the full extent and implications of the TdY2019; NYCC are aware that discussions are ongoing between WtY and local authorities to identify host towns for the TdY 2019 race; Initial route planning will take place summer 2018, with details on the route to be confirmed for internal planning purposes in Autumn 2018; Report will be taken to Exec in summer 2018 to seek funding for TdY 2019; Draft UCI World Cycling Championship in 2019 (Y2019) routes have been developed; NYCC officers are working closely with Yorkshire 2019 Ltd on traffic management and communications								
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
Reduction	7/177 - Continue to work & engage with all key partners across the race routes (inc National Park(s), Forestry) once route details are known					Action Manager	CD BES	Action by	Tue-30-Apr-19	Completed	
Reduction	9/39 - NYCC Delivery Group to continue to be established for TdY 2019 & Y2019 to update throughout the planning process (including Comms unit)					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
Reduction	9/192 - Work with District Councils and assist with event planning and coordinate with TM planning					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
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					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
Reduction	9/361 - Develop the project plan for tasks 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.					Action Manager	BES AD H&T	Action by	Sun-31-Mar-19	Completed	
Reduction	9/491 - Work closely with WtY and Y2019 Ltd as event organisers to develop an extensive publicity campaign to warn residents / drivers of potential disruption across the race route, particularly in and around the Harrogate area					Action Manager	BES AD H&T Comms Unit	Action by	Sun-31-Mar-19	Completed	
Reduction	9/492 - Coordinate the development of an appropriate C3 structure in partnership with other key event delivery organisations for both events (Y2019 Ltd, WtY, NY Police, District Councils and other Cat 1 & 2 responders)					Action Manager	CSD AD P&P	Action by	Sun-31-Mar-19	Completed	
Reduction	9/552 - For TdY 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. At designated locations deliver traffic management as required. For Y2019 work closely with Y2019 Ltd as event organiser to coordinate TM requirements across the event					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
Reduction	9/553 - Put in place appropriate staffing arrangements to fulfil the necessary roles over both events in 2019					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
Reduction	9/558 - Work closely alongside Police and other emergency services to assist in planning to help to mitigate against any potential security threats etc					Action Manager	BES AD H&T	Action by	Tue-30-Apr-19	Completed	
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3

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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 and Yorkshire 2019	CD BES

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Phase 1 - Identification											
Risk Number	7/23	Risk Title	7/23 - Major Incident and Business 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, Service breakdown including critical resources (eg property, people and ICT) resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to critical services.					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 incident and emergency plans; inspection monitoring programmes; systems resilience & back up arrangements in place; business impact analyses and incident management plans are in place; disaster recovery plan; NYCC silver command exercises carried out; implementation of solutions based upon lessons learned from previous major incidents; BES RMG; biannual multi-agency training events; command structure / information flow for business continuity incidents finalised; emergency protocol agreed with Kier and Yorwaste in the event that sites to be open on days when they may otherwise be shut; critical infrastructure network in line with HMEP recommendations in place;								
Probability	L	Objectives	M	Financial	H	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/374 - Ensure that resources are flexible enough to manage unexpected major and business continuity incidents (ongoing)					BES MT	Mon-30-Sep-19				
Reduction	7/444 - Continually review procedures plans and training in relation to major incidents (ongoing)					BES MT	Mon-30-Sep-19				
Reduction	7/446 - Annual live or desk top exercises to test plans (ongoing)					BES MT	Mon-30-Sep-19				
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	7/175	Risk Title	7/175 - Delivering Change Programmes within BES					Risk Owner	CD BES	Manager	BES MT	
Description	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing programmes of change in BES e.g. the BES 2020 Change Programme. This could result 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			
Phase 2 - Current Assessment												
Current Control Measures			CD BES Staff Updates; reps on 2020NY workstreams; key messages; cascade of 2020NY vision and approach; monitoring of impacts on performance; monitoring of impacts on savings target; 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; staff survey outcomes partly implemented; Programme transformational rather than savings focussed; ideas generation and review process established; new programme of changes identified and agreed;									
Probability	L	Objectives	H	Financial	M	Services	H	Reputation	L	Category	3	
Phase 3 - Risk Reduction Actions												
Reduction	7/93 - Continue communication/engagement arrangements with staff on 2020 North Yorkshire programme (ongoing)						Action Manager	BES MT	Action by	Mon-30-Sep-19	Completed	
Reduction	7/260 - Continue to monitor impacts of BES 2020 Programme (ongoing)						Action Manager	BES MT	Action by	Mon-30-Sep-19	Completed	
Reduction	7/265 - Promote and embed cultural change (including Modern Council) through key messages, KITs, manager and non-manager objectives, regular reporting on progress of change projects and impacts of daily operations on delivery of aims (ongoing)						Action Manager	BES MT	Action by	Mon-30-Sep-19	Completed	
Reduction	7/450 - Innovate new ideas to cover the shortfall in expected savings in line with the budget report, and the anticipated MTFs gap						Action Manager	CSD AD SR (ML)	Action by	Thu-28-Feb-19	Completed	
Reduction	7/451 - Ensure appropriate allocation of resources to deliver change projects (ongoing)						Action Manager	CSD AD SR (ML)	Action by	Mon-30-Sep-19	Completed	
Reduction	7/1504 - Continue with implementation of the action plan developed following the staff survey (ongoing)						Action Manager	BES MT	Action by	Mon-30-Sep-19	Completed	
Reduction	7/1962 - Continually challenge process and procedure for 2020 to ensure relevant bureaucracy and impact on service delivery is constrained (ongoing)						Action Manager	BES MT	Action by	Mon-30-Sep-19	Completed	
Reduction	7/1967 - Integrate the BEST process into service planning						Action Manager	CSD AD SR (ML) CSD SR HoS&P	Action by	Sun-31-Mar-19	Completed	
Phase 4 - Post Risk Reduction Assessment												
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	L	Category	5	
Phase 5 - Fallback Plan												
Fallback Plan	7/539 - Review approach to the delivery of change programmes and cultural change management within BES								Action Manager	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
▲	7/174 - Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority	Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across North Yorkshire.	CD BES	CD BES	H	H	H	M	H	1	5	31/03/2019	M	L	M	L	M	4	Y	CD BES
◀▶	7/173 - Minerals and Waste Development Framework	Failure to complete the examination process and then adopt the Minerals and Waste Development Framework by the end of March 2019 as the basis for development control decision-making resulting in risk of legal challenge through judicial review, appeals with resulting financial and workload implications, adverse implications for the local economy, risk of National Government passing on European fines	CD BES	BES AD GP&TS	M	M	M	M	H	2	6	31/03/2019	L	M	M	M	H	3	Y	BES AD GP&TS
◀▶	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 and support the LEP in the Transport role, 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	5	31/03/2019	L	M	H	L	H	3	Y	CD BES
▲	7/18 - Long Term Waste Service Strategy	Failure to further develop the long term waste service strategy (including total system efficiency, realisation of commercial opportunities through increasing recycling, reducing residual household waste, maximising potential through flexibility and reconfiguration to take advantage of opportunities through changes in market conditions, changes in waste composition and changes in consumer behaviour) following delivery of AWRP results in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP	CD BES	BES AD TW&CS	M	L	H	L	H	2	8	31/10/2018	L	L	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
◀▶	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	7	30/09/2019	L	M	M	M	H	3	Y	CD BES
▶◀	7/232 - Growth	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure, whilst protecting the outstanding environment and heritage, and within the context and partnership arrangements of two-tier local government structure and wider macro-economic policy and processes. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.	CD BES	CSD AD SR (ML) BES AD GP&TS	M	H	H	H	M	2	6	31/12/2018	L	H	H	H	L	3	Y	BES AD GP&TS
▶◀	7/24 - Capital Programme	Ineffective management of capital programme including major schemes, LEP, LTP, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.	CD BES	CSD AD SR (ML)	L	M	H	M	M	3	6	31/03/2019	L	M	H	M	M	3	Y	CD BES
- new -	7/244 - Cycling Events in North Yorkshire	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de Yorkshire and UCI World Championship in North Yorkshire in 2019 &/or significant adverse publicity around hosting these events resulting in potential reputational, legal and financial impact upon the County Council.	CD BES	BES AD H&T	L	L	M	M	H	3	10	31/03/2019	L	L	M	M	H	3	Y	CD BES
▶◀	7/23 - Major Incident and Business 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. Service breakdown including critical resources (eg property, people and ICT) resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to critical services.	CD BES	CD BES	L	M	H	H	M	3	3	30/04/2019	L	M	H	H	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
	7/175 - Delivering Change Programmes within BES	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing programmes of change in BES e.g. the BES 2020 Change Programme. This could result in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.	CD BES	BES MT	L	H	M	H	L	3	8	28/02/2019	L	M	M	M	L	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