

North Yorkshire County Council

Audit Committee

20 December 2019

Internal Control Matters for the Business and Environmental Services Directorate

Report of the Corporate Director – Business & Environmental Services

1.0 Purpose of the report

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

2.0 Background

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

3.0 Directorate Update

- 3.1 The main areas of note for the Directorate are:
- I. Following the Council's decision to move the Highways & Transportation (H&T) operational delivery from an outsourced model to a 'Teckal' entity, the Directorate has now constructed the project team to implement this change. The existing contract is due to conclude in March 2021 and therefore the project is arranged to deliver against those time scales. Given this is a significant undertaking for the organisation and in order to ensure a successful transition, the project has a robust governance arrangement wrapped around it. The main features are:
- a. Project Board – chaired by Corporate Director, BES, with representation from key functions including Legal, Finance, HR and the H&T service. The Board steers the project and acts as the main decision making body.
 - b. Project Team – chaired by Assistant Director, Resources, with representation from a wider set of stakeholders where all areas supporting the project have an input. The Team drives and delivers the project and generates the options appraisal for Board decision.
 - c. Work streams – below the Project Team are 5 work streams which consolidate all aspects of delivery (naturally with some overlap). These 5 streams are:
 - i. Staff engagement and communication
 - ii. Health & Safety and HR

- iii. Legal and contractual
 - iv. Operating model
 - v. Finance and technology
- II. York, North Yorkshire, East Riding (YNYER) and Hull, Directors of Development is a group which meets no less than five times a year to consider shared issues and opportunities relating to the wider economic and land use development across the sub-region. The Group consists of Local Authority Directors, including National Parks, Local Enterprise Partnership and Homes England. The group reports to the YNYER Chief Executives Group and through that to Local Government North Yorkshire and York Leaders Group.

This group has been allocated surplus funding from the 2019/20 West and North Yorkshire business rates pool pilot, amounting to an estimated £370k in the financial year. The group has identified a number of areas that would benefit from this funding, including – for example – investment into town master planning.

- III. Governance for the York, North Yorkshire and East Riding Local Enterprise Partnerships (YNYER LEP) continues to be reviewed, however given the firm stance by MHCLG/BEIS in respect of over lapping boundaries, the future arrangement needs to be considered and a swift conclusion reached. Over the preceding twelve month the LEP Board has reviewed a number of options regarding their future state, however have not yet concluded a preferred option. NYCC, as the accountable body, is working closely with them and Government to help manage both the transition to any future status and also any implications of a potential delay beyond Government's target date of April 2020.
- IV. Capital Programme, whilst this is identified separately within the Directorate Risk Register there are key items of note:
- a. There is a significant amount of uncertainty surrounding the future funding of highways capital works at a national level, so whilst NYCC are not unique in the issue, BES Directorate is taking proactive steps to help address it. Currently there is no visibility on any funding for the financial year 2021/22 or beyond. However through the Capital Projects Board, the Highways team have been asked to consider what types of schemes would be progressed if the funding is retained at a similar level to 2020/21 (forecast circa £50m); this is to ensure that if funding does come forward, there is no break in delivery.
 - b. Through oversight at Project Board level, the A59 Kex Gill Diversion project has currently been developed to business case stage. It is anticipated this will be approved late 2019 or early 2020 and that planning is to be determined Q1 2020. On that basis the scheme will begin construction Q2/Q3 2020 and is scheduled to be complete and open to traffic by Q3/Q4 2021.
 - c. A1 Junction 47 – all funding contributions have now been received by NYCC. Developer contribution of £1 million was secured in February 2019 to enable an enhanced LEP-plus scheme at Junction 47 A1(M) to go ahead. Tenders will be sought in December 2019 via the NYCC Civil Engineering Contractors Framework 2016 (CECF2106). The current programme for the works is to start on site in March 2020 with anticipated construction period of up to 12 months. The estimated scheme cost is £5.19m and the breakdown of the funding contribution is:
 - £2.47m - YNYER LEP/LGF
 - £1.16m – NYCC/NPIF

- £0.56m - Highways England Growth & Housing Fund
- £1.0m - Developer

It was agreed in October 2019 with DfT that the National Productivity Investment Fund (NPIF) grant can be carried over with a new funding deadline of 31st March 2021.

- V. In addition to the Tour de Yorkshire in May 2019, the UCI World Cycling Championships took place in Yorkshire between Saturday 21 and Sunday 29 September 2019.

Despite the weather conditions at the time and the need to alter the route at short notice, overall the event was deemed to be a success. However there is always an opportunity to learn and improve and as such a lessons learned exercise has been undertaken. This has culminated in a multi-agency debrief report which is planned to be discussed at the Yorkshire 2019 Board in December 2019, the Board includes representation from NYCC. Once the report is agreed it will be available to partner agencies, it is expected this will be complete by Q2 2020.

The process was facilitated by the Senior Resilience and Emergencies Officer from NYCC who is a qualified debriefer by the National College of Policing. The report aims to identify those lessons which could be utilised by future Yorkshire and National Events. It will also provide an overall view on how Y2019 performed against its own goals. And whilst the report will provide recommendations, it will be for specific agencies to consider how best to learn from the event.

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 December 2018 (date of last progress report to the Committee). This relates to the Highways Teckal arrangements that are in progress. There is a separate risk register being developed solely for this key project to provide highways maintenance services throughout the county
- 4.7 All other risks have been updated and their overall ranking has remained the same, apart from the Statutory Duties risk that has reduced. The probability for this risk has been reduced from M to L as it is felt that the risk is under control but if it happened there would still be an impact.
Two risks have slightly changed as follows:
- i. Long Term Waste Service Strategy – this risk was updated to provide a focus on a single system for waste.
 - ii. Delivering Change – this risk has been updated to reflect Beyond 2020 as well as the present 2020 Programme.

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 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (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		Services	M	Reputation	H	Category	1
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/1968 - Develop a York/North Yorkshire proposition including a combined authority, in response to Govt. continuing to reject One Yorkshire						Chief Exec	Tue-31-Mar-20			
Reduction	7/1969 - Carry out consultation on a York/North Yorkshire proposition and following approval, submit to Parliament and obtain relevant Powers.						Chief Exec	Wed-31-Mar-21			
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	Fri-31-Jul-20			
Reduction	176/280 - Gain political support both locally and nationally (ongoing)						Chief Exec	Fri-31-Jul-20			
Reduction	176/320 - Negotiate the economic barriers and opportunities which Devolution can take advantage of with Government including interim devolution deals (consensus of Yorkshire local authorities achieved, support from Govt Minister required)						CD BES	Fri-31-Jul-20			
Reduction	176/460 - Establish the geography on which to secure Devolution (consensus of Yorkshire local authorities achieved, support from Govt Minister required)						Chief Exec	Fri-31-Jul-20			
Reduction	176/469 - Develop detailed business cases for different geographies						Chief Exec	Fri-31-Jul-20			
Phase 4 - Post Risk Reduction Assessment											
Probability	M	Objectives	L	Financial		Services	L	Reputation	M	Category	4
Phase 5 - Fallback Plan											
									Action Manager		
Fallback Plan	176/544 - Consider a North Yorkshire deal								CD BES		

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (pw)**

Phase 1 - Identification											
Risk Number	7/173	Risk Title	7/173 - Minerals and Waste Joint Plan				Risk Owner	CD BES	Manager	BES AD GP&TS	
Description	Failure to complete the examination process and then adopt the Minerals and Waste Joint Plan by the end of March 2020 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 Local Plan					BES AD GP&TS	Tue-31-Mar-20				
Reduction	13/54 - Continue to review progress against milestones, review and update milestones as necessary					BES AD GP&TS	Tue-31-Mar-20				
Reduction	13/519 - Continue to keep budget priorities under review					BES AD GP&TS	Tue-31-Mar-20				
Reduction	13/523 - Continue to monitor new developments eg fracking, using planning officers society and peer groups					BES AD GP&TS	Tue-31-Mar-20				
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	13/553 - If plan is deemed to be unsound we would need to recommence the local plan work							BES AD GP&TS			

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (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; necessary local contributions secured for the schemes in the LEP programme that are being delivered (Mar 2019);								
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	Wed-30-Sep-20			
Reduction	7/436 - Continue to ensure sufficient resource in H&T to effectively promote County Council schemes (ongoing)						BES AD H&T	Wed-30-Sep-20			
Reduction	9/538 - Complete review of the major schemes reserve list complete and agreed by Exec Members in June 2019						BES H&T HoNS	Wed-30-Sep-20			
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; ongoing						BES AD H&T BES H&T HoNS	Tue-31-Mar-20			
Reduction	9/585 - Continue to work closely with WSP to ensure that resources match programme of transport schemes requirements (ongoing)						BES AD H&T	Tue-31-Mar-20			
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	

Risk Register: **Month 0 (August 2019) – detailed**Next Review due: **February 2020**Report Date: **10th September 2019 (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; intelligence through networking; network of waste transfer stations; access to external advisors; Contract Management Manual/Register of Obligations; suite of monitoring documents in place; Project Board in place; monthly project team meetings; S106 and S278 delivery arrangements in place; network of Amey Cespa clients; monthly compliance monitoring check; regular review of key dates schedules / programme: agreed approach with districts; existing contracts in place; extensive modelling; agreement for Teckal; feasibility with consultants and modelling of opportunities of single system for waste and incentive for reduced residual waste bin capacity completed; Single System project identified as high priority (awaiting allocation of project manager); agreement on settlement of disputes relating to first contract year;								
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	Thu-28-Feb-19		
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	Mon-31-Dec-18		
Reduction	7/376 - Develop and implement a business case for a single system for waste						BES AD TW&CS	Tue-31-Dec-19			
Reduction	7/377 - Review Government resources and waste strategy including food waste collections (published Dec 2018), take part in initial consultation (May 2019) and further consultations and assess impacts and opportunities						BES AD TW&CS	Tue-31-Mar-20			
Reduction	7/419 - Continually review appetite and benefit for separate food waste collections (work with Yorwaste) (ongoing)						BES AD TW&CS	Tue-31-Mar-20			
Reduction	14/501 - Develop a more collaborative culture to ensure openness and transparency in decision making and continuous improvement						BES TW&CS HoS(W)	Fri-31-Jul-20			
Reduction	14/1961 - Discuss and resolve specific performance failures and disputes such as level of insurance saving to be shared, vehicle delays at AWRP						BES TW&CS HoS(W)	Fri-31-Jul-20			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	H	Services	L	Reputation	M	Category	3

Risk Register: **Month 0 (August 2019) – detailed**

Next Review due: **February 2020**

Report Date: **10th September 2019 (pw)**

Phase 5 - Fallback Plan		Action Manager
Fallback Plan	7/73 - Rely short term on recently procured arrangements, review strategy, media management	CD BES

Risk Register: **Month 0 (August 2019) – detailed**Next Review due: **February 2020**Report Date: **10th September 2019 (pw)**

Phase 1 - Identification											
Risk Number	7/247	Risk Title	7/247 - Highways Teckal				Risk Owner	CD BES	Manager	BES AD H&T	
Description	Failure to have arrangements for Highways Maintenance Services in place by end of current contracts (April 2021) resulting in service disruption, increased costs and criticism Risk Owner/Manager/Group all the same as this risk					Risk Group	Contracts	Risk Type	H&T 9/246		
Phase 2 - Current Assessment											
Current Control Measures			Governance arrangements in place; Initial project meeting held; project manager appointed; project governance established via project board, team and workstream groups: detailed scoping completed; draft blueprint documents in place; initial operating model completed;								
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	H	Category	2
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	7/440 - Further review and develop the company's operating model (v2 Oct 2019)					BES Teckal Proj Off	Thu-31-Dec-20				
Reduction	9/233 - Continue to complete the draft blueprint documents with services, and further develop the detailed project plans					BES Teckal Proj Off	Tue-31-Dec-19				
Reduction	9/235 - Maintain effective engagement with RIS at Board level to ensure continued positive working relationships					CD BES	Fri-31-Jul-20				
Reduction	9/244 - Start to engage with RIS at detailed level – joint staff comms, detailed information 'ask'					BES AD H&T	Fri-31-Jul-20				
Reduction	9/560 - Develop detailed definition of new company's operating model					BES Teckal Proj Off	Sat-31-Aug-19	Sat-31-Aug-19			
Reduction	9/561 - Put support service arrangements in place between NYCC and new company					BES Teckal Proj Off	Sat-31-Oct-20				
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	H	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	9/559 - Consider extension of existing arrangements or retender								BES H&T HoCS		

Risk Register: **Month 0 (August 2019) – detailed**

Next Review due: **February 2020**

Report Date: **10th September 2019 (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 YNER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in LGNY Y partnership working including through Directors of Development, Chief Housing Officers, Heads of Planning and Economic Development Officer Groups; Lead role in enabling and further developing YNERH Spatial Framework; Lead role in supporting and developing the NYCC Growth Plan Steering Group and sub-ordinate arrangements; Lead role in initiating and developing the NYCC Economic Growth Plan and annual Delivery Framework (endorsed by Executive); Work to monitor and support opportunities to secure alternative governance arrangements including a Devolution deal with Government; collaborative working arrangements with District Councils in place								
Probability	M	Objectives	H	Financial	H	Services	H	Reputation	M	Category	2
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/1502 - Carry out an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan (ongoing) (Need to work towards a new NYCC Economic Growth and Delivery Plan being in place by 31 Mar 20)						BES AD GP&TS BES GP&TS HoSP&EG	Tue-31-Mar-20			
Reduction	7/1958 - Embed enhanced collaborative working arrangements with District Councils (annual review of progress) - ongoing						BES AD GP&TS	Fri-31-Jul-20			
Reduction	7/1959 - Complete YNERH Spatial Framework SDZ Long Term Development Statements to enable effective long-term planning and investment of infrastructure for growth; approval by LGNY Y Board / Leaders for publication and open release of the framework						BES AD GP&TS	Fri-31-Jul-20			
Reduction	7/1960 - Maintain good working relationship with the LEP (ongoing)						CD BES	Fri-31-Jul-20			
Reduction	7/1961 - Understand and investigate any impacts of Brexit and ensure opportunities are taken						BES AD EPU CD BES	Thu-31-Oct-19			
Reduction	13/532 - Deliver strategic natural capital investment via the Local Nature Partnership (LEP/LNP lead) Taking forward phase 2 implementation options with partners (Local Authorities, DEFRA, Universities, Business) with link to 25 Year Environment plan and government policy changes (planning net gain, agriculture ELMs, Local Industrial Strategy & Natural Capital plans).						BES AD GP&TS	Tue-31-Mar-20			
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	Fri-31-Jul-20			

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	L	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	7/551 - Review and revise existing arrangements for sustainable economic growth									BES AD GP&TS	

Risk Register: **Month 0 (August 2019) – detailed**Next Review due: **February 2020**Report Date: **10th September 2019 (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											
							Action Manager	Action by	Completed		
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						CD BES	Mon-30-Sep-19			
Reduction	7/420 - Ensure detailed engagement with Welcome to Yorkshire around how they will operate following the resignation of the Chief Executive. Carry out preparations through 'what if' scenarios.						CD BES	Mon-30-Sep-19			
Reduction	9/39 - NYCC Risk management & Delivery Group established for Y2019 to update throughout the planning process (including Comms unit)						BES AD H&T	Mon-30-Sep-19			
Reduction	9/192 - Working closely with Partner Authorities to assist with event planning and coordinate TM planning						BES AD H&T	Mon-30-Sep-19			
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-30-Sep-19			
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;						BES AD H&T	Mon-30-Sep-19			
Reduction	9/491 - Work closely with Y2019 Ltd as event organisers to develop an extensive publicity campaign to warn residents / road users / businesses of potential disruption across the race route, particularly in and around the Harrogate area;						BES AD H&T Comms Unit	Mon-30-Sep-19			
Reduction	9/492 - Coordinate the development of an appropriate C3 structure in partnership with other key event delivery organisations for Yorkshire 2019 (Y2019 Ltd, WtY, NY Police, District Councils and other Cat 1 & 2 responders); C3 in place for both and subject to ongoing review and update						CSD AD P&P	Mon-30-Sep-19			
Reduction	9/552 - Working closely with Y2019 Ltd as event organiser to coordinate TM requirements across the event						BES AD H&T	Mon-30-Sep-19			
Reduction	9/553 - Put in place appropriate staffing arrangements to fulfil the necessary roles for the safe and successful delivery of Y2019						BES AD H&T	Mon-30-Sep-19			
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						BES AD H&T	Mon-30-Sep-19			

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (pw)**

Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	L	Financial	M	Services	M	Reputation	H	Category	3
Phase 5 - Fallback Plan											
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 Yorkshire 2019									Action Manager	CD BES

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (pw)**

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	Wed-30-Sep-20			
Reduction	7/444 - Continually review procedures plans and training in relation to major incidents (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/446 - Annual live or desk top exercises to test plans (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/1970 - Consider recent significant natural events relative to the impact of climate change						BES MT	Wed-30-Sep-20			
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		

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (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	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/458 - Ensure that the current H&S procedures are audited to ensure compliance (ongoing)						CD BES	Wed-30-Sep-20			
Reduction	7/459 - Review the H&S arrangements of Contractors and Partner organisations (ongoing)						BES AD H&T	Wed-30-Sep-20			
Reduction	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/462 - Review incidents and claims statistics including large losses and develop action plans (ongoing)						BES MT	Wed-30-Sep-20			
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	Wed-30-Sep-20			
Reduction	7/1965 - Work closely with the Data Governance team in Strategic Support to review and update local information governance arrangements (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/1966 - Continue to implement awareness raising campaign for information governance (ongoing)						BES MT	Wed-30-Sep-20			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	H	Category	3

Risk Register: **Month 0 (August 2019) – detailed**

Next Review due: **February 2020**

Report Date: **10th September 2019 (pw)**

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

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (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; LEAN review of Capital Programme completed; timely reports to Capital Projects Board and Exec members covering key service and financial risk items; introduction of efficiency measures for capital projects and programmes where relevant;									
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	9/352 - Continue project management and gateway approach for relevant capital schemes; gateway aspect now managed centrally					BES AD H&T	Fri-31-Jul-20				
Reduction	9/353 - Establish appropriate actions and contingencies dependent upon risks including recommendations from LEAN review					BES AD H&T	Fri-31-Jul-20				
Reduction	9/354 - PIR of major projects and lessons learnt/implemented					BES AD H&T	Fri-31-Jul-20				
Reduction	9/355 - Ensure appropriate level of resources is allocated in line with budget expectations					BES AD H&T	Fri-31-Jul-20				
Reduction	9/472 - Ensure effective engagement with Veritau and production of a suitable post audit response.					BES H&T HoNS	Fri-31-Jul-20				
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; external review was completed in Nov 2018, the 20/21 capital works programme was developed using HMIT					BES H&T HoNS	Fri-31-Jul-20				
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)	Tue-31-Mar-20				

Risk Register: **Month 0 (August 2019) – detailed**
 Next Review due: **February 2020**
 Report Date: **10th September 2019 (pw)**

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	

Risk Register: Month 0 (August 2019) – detailed

Next Review due: February 2020

Report Date: 10th September 2019 (pw)

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 Beyond 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	H	Services	H	Reputation	M	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 (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/260 - Continue to monitor impacts of BES 2020 Programme (ongoing)						BES MT	Wed-30-Sep-20			
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)						BES MT	Wed-30-Sep-20			
Reduction	7/450 - Continue to provide the support to innovate new ideas to cover the shortfall in expected savings in line with the budget report, and the anticipated MTFS gap (ongoing)						CSD AD SR (ML)	Wed-30-Sep-20			
Reduction	7/451 - Ensure appropriate allocation of resources to deliver change projects (ongoing)						CSD AD SR (ML)	Wed-30-Sep-20			
Reduction	7/568 - Ensure that the emergence of Beyond 2020 is taken into account						BES MT	Tue-31-Mar-20			
Reduction	7/1504 - Continue with implementation of the action plan developed following the staff survey (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/1962 - Continually challenge process and procedure for 2020 to ensure relevant bureaucracy and impact on service delivery is constrained (ongoing)						BES MT	Wed-30-Sep-20			
Reduction	7/1967 - Integrate the BEST process into service planning						CSD AD SR (ML) CSD SR HoS&P	Sun-31-Mar-19	Sun-31-Mar-19		
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	L	Category	5

Risk Register: **Month 0 (August 2019) – detailed**

Next Review due: **February 2020**

Report Date: **10th September 2019 (pw)**

Phase 5 - Fallback Plan		Action Manager
Fallback Plan	7/539 - Review approach to the delivery of change programmes and cultural change management within BES	CD BES

Risk Register: Month 0 (August 2019) – summary

Next Review due: February 2020

Report Date: 10th September 2019 (pw)

Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀	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	7	31/03/2020	M	L	M	L	M	4	Y	CD BES
◀	7/173 - Minerals and Waste Joint Plan	Failure to complete the examination process and then adopt the Minerals and Waste Joint Plan by the end of March 2020 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	4	31/03/2020	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	31/03/2020	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	7	31/12/2019	L	L	H	L	M	3	Y	CD BES
- new -	7/247 - Highways Teckal	Failure to have arrangements for Highways Maintenance Services in place by end of current contracts (April 2021) resulting in service disruption, increased costs and criticism Risk Owner/Manager/Group all the same as this risk	CD BES	BES AD H&T	M	H	H	H	H	2	6	31/12/2019	L	H	H	H	H	3	Y	BES H&T HoCS


Risk Register: **Month 0 (August 2019) – summary**Next Review due: **February 2020**Report Date: **10th September 2019 (pw)**




Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀▶	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	7	31/10/2019	L	H	H	H	L	3	Y	BES AD GP&TS
◀▶	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	11	30/09/2019	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	4	30/09/2020	L	M	H	H	M	3	Y	CD BES
▼	7/7 - Statutory Duties	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.	CD BES	CD BES	L	M	M	M	H	3	7	30/09/2020	L	M	M	M	H	3	Y	CD BES
◀▶	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	7	31/03/2020	L	M	H	M	M	3	Y	CD BES

Risk Register: **Month 0 (August 2019) – summary**

Next Review due: **February 2020**

Report Date: **10th September 2019 (pw)**

Identity			Person		Classification												Fallback Plan			
Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
	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 Beyond 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	H	H	M	3	9	31/03/2020	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