

# North Yorkshire County Council

## Audit Committee

24 October 2022

### 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 quarterly.

#### 3.0 Directorate Update

##### The main areas of note for the Directorate are:

- 3.1 The impact of COVID-19 has been extensive and whilst it is too significant to ignore for this report, it is not covered in great detail and the section below includes reference to the impact and response by each service in the Directorate at a relatively high level. In the post-Covid environment, wider economic factors such as the rising levels of inflation in the UK increasing the cost of materials and salaries impacts the Directorate directly and also through the supply chain. The main contributors continue to be in the costs of labour, energy and materials.
  - 3.1.1 In addition, the focus of the Directorate is also necessarily on implementing Local Government Reorganisation, setting up the new North Yorkshire Council ahead of vesting day on 1 April 2023. Work in this area has significantly increased during the year and will continue through vesting day and beyond. More details are included in section 3.7 below.

##### Highways & Transportation

- 3.2 The key focus for the highways service was to deliver as close to a business as usual service as possible throughout the pandemic whilst also providing traffic management and safe access to local public spaces. Most of these measures are no longer needed and have been removed.
  - 3.2.1 Support to North Yorkshire Highways (NYH), as the front-line delivery agency – to help ensure staff on the ground continue to be able to operate in a relatively low risk & safe environment which is critical in making sure the roads in North Yorkshire are open to travel. Looking ahead and, as we approach the winter period, the service once again has prepared for a possible further wave of COVID-19 coupled with poor weather. The service, working closely with suppliers including NYH, continue to

review business continuity & service resilience plans. Rising materials costs across the sector are creating significant pressures on service delivery and this includes the programme of planned capital maintenance schemes which are being managed through the rolling three year approach but this will inevitably mean that some schemes will be reprogrammed for a later date and a reduced surface dressing programme will be carried out in 2023/24.

### **Waste Management**

3.3 On behalf of NYCC, Yorwaste are contracted to provide Household Waste Recycling Centre (HWRC) services and as well as the waste transfer operations. Overall Yorwaste pay health & safety of staff particular regard, having recently been certified ISO45001 (Integrated HSE management system), the company is now working towards British Safety Council 5 Star Audit. At a service specific level, whilst site staff at HWRCs receive the appropriate level of training on a regular basis, recent attention has been given to conflict resolution in situations where members of the public can become agitated (normally when they are advised disposal of certain types of material are chargeable). The training has been delivered in conjunction with Council staff and has been well received, the feedback is Yorwaste staff are now more confident in dealing with those difficult situations.

3.3.1 For waste transfer station operations, focus over the last year has been on improving site monitoring to help reduce the risk of fire. Through local & remote thermal CCTV, Yorwaste staff can monitor the temperature of waste in every transfer station and take action as necessary. The fire suppression systems at each site have also been improved such that water deluge is automatically activated should a fire break out. This action has been instigated to help reduce insurance premium as well as risk.

### **Integrated Passenger Transport (IPT)**

3.4 The Transport Team within IPT covers three main areas of travel: home to school transport, health and adult services and public transport.

3.4.1 Service delivery across all areas continues to be difficult as the bus industry tries to cope with the many issues that the pandemic and subsequent economic situation has thrown up. In the public transport sector, passenger numbers are down across the country as a whole and are slow to improve. Whilst DfT grants have been provided to the Council and bus operators to assist with the shortfall in revenue, the current economic climate is forcing difficult decisions to be made and services are being lost in some parts of the county on a regular basis.

3.4.2 In the Home to School transport sector, we continue to see the loss of a few key smaller providers as they struggle to secure drivers and deal with the increased costs in relation to staff pay, fuel, parts and maintenance. Temporary price increases have been agreed in some circumstances to support providers, through NYCC's Supply Chain Resilience Board. Several operators have requested termination of their contracts as they are no longer financially viable and where new prices are being sought for transport we are seeing huge increases in daily prices leading to increased pressure on the budget.

### **Fleet and Operations**

3.5 The asset management and maintenance of fleet items has been improved by the introduction of a fleet management system in 2021. This system is shared between NYCC and NY Highways and will also be deployed across the new Council prior to vesting day. The procurement of fleet items is centralised in the fleet management section and is completed in association with the Procurement and Contract Management Team. The section is developing an approach to alternative fuel vehicles.

- 3.5.1 The Operations team deliver approximately 135 services in-house for Health and Adult Services and for other directorates where there is no commercial alternative or no best value alternative. The drivers and passenger assistants are subject to a robust selection, induction and training framework to manage the operational risk of supporting vulnerable passengers as well as the general public. The vehicles are operated on transport permits but the standards of maintenance and management are close to Operator Licence standards so to ensure the safe and compliant operation of the service.
- 3.5.2 The current inflationary environment is creating some significant supply chain pressures. Many contracts are indexed and we will expect to see significant uplifts in future years as inflation filters through. However some areas of the supply chain are more pressed in the short-term and some additional areas of support are proposed as set out below in paragraphs 3.3.7 above. The Council continues to scrutinise market requests for additional financial support through the Supply Chain Resilience Board. This ensures that strong contract management is in place and identifies those areas of greatest financial distress.

### **Economy & Business**

- 3.6 The North Yorkshire and UK economy continues to face significant challenges due to strong negative headwinds. These include rising inflation and interest rates, supply-chain issues, and reducing consumer and business confidence. These challenges to a large degree are linked to external factors such as the continuing impact of Covid on the global economy, the impacts of the war in Ukraine on supply-chains and energy costs, but are also impacted by other factors such as the recent political changes in the UK, and their impact on national economic policy, which has impacted on confidence in the wider markets.
- 3.6.1 NYCC plays a key role, helping to protect jobs and stimulate the economy, working with the district/boroughs, the LEP and other key partners. Close collaborative working has taken place over the last year to prepare for the new North Yorkshire Council and to ensure that North Yorkshire continues to be 'open for business'. This includes ensuring that positive momentum is maintained across the wide range of economic development, regeneration, tourism and inward investment work taking place across North Yorkshire. NYCC also played a central role in negotiating the Devolution Deal for York & North Yorkshire which offers significant additional powers, flexibilities and funding. This can deliver a step-change in helping North Yorkshire to address current challenges and reach its full economic potential.
- 3.6.2 Finally, staff in the Directorate had to accommodate a different way of working and – through the support of technology – moved nearly entirely to home based operation (excepting front-line staff). As restrictions have now been lifted, the Directorate, like the rest of the Council, continues to explore and trial new ways of working and what a 'new normal' looks like, with a blend of office based and remote working. This is working well.

### **Local Government Reorganisation (LGR)**

- 3.7 Capacity and prioritisation continue to be significant issues in the Directorate, particularly in light of the challenges presented by Local Government Reorganisation. The Directorate is playing a key role in this fundamental Council initiative to set up the new North Yorkshire Council and is involved in / leading several workstreams all of which are working to ensure all necessary arrangements for each service are in place for vesting day on 1 April 2023 including appropriate governance arrangements. The BES Directorate is principally involved in the following workstreams:
- Waste, Highways, Parking and Streetscene
  - Planning
  - Economic Development

- 3.7.1 To ensure appropriate governance and decision making processes are in place, all workstreams adhere to established and agreed decision making levels.

### **Establishment of a Mayoral Combined Authority**

- 3.8 The Devolution deal with Government was announced on 1 August 2022. Work is now progressing in creating the York and North Yorkshire Combined Authority through the required legislative process. A governance review has been undertaken and approved by the NYCC Executive. The City of York Council are progressing the approval of the governance review by taking through their Overview & Scrutiny Committee, Executive and Full Members.
- 3.8.1 Following the governance review period, the public consultation on the establishment of the Combined Authority will commence. Once complete, any changes to the proposal reflecting on public opinion will be passed back through the respective Local Authorities for re-approval. A joint-committee between North Yorkshire and City of York will be established as a “shadow board” to oversee progress and decision-making in moving the creation of the Combined Authority forward.
- 3.8.2 The York and North Yorkshire Local Enterprise Partnership will become an integral part of the new Combined Authority. To that end, Government requires the LEP to produce an integration plan outlining what the voice of business will look like in the Combined Authority, what projects/programmes/assets will novate to the Combined Authority, what the TUPE arrangements are and what the transition timescale is. A first draft of this was shared with LEP Board at the 23 September 2022 meeting, although this will continue to be a work in progress as further development takes shape.
- 3.8.3 With regard to the current operation of the LEP, it was assessed as meeting the standards required by Government across Governance, Delivery and Strategy following the Annual Performance Review in January 2022. All requirements of the 2018 LEP Review set out by Government have been met. The target of 50/50 Male/Female Board Member representation by March 2023 is already met.
- 3.8.4 The dormant company created in July 2020 to enable the LEP to have a legal personality will be dissolved upon the creation of the Combined Authority.

### **North Yorkshire Highways**

- 3.9 The Company launched successfully on 1 June 2021 and over the last 16 months has been updating and refining governance and internal control processes to ensure they are robust and fit for purpose for the new organisation. The company has recently appointed a company secretary from First North Law, to advise, monitor and maintain governance in respect of investment, operational and financial decisions.
- 3.9.1 The Company has been set up to ensure it has appropriate legal status: a Board of Directors with balanced composition, including an independent Non- Executive Director as Chair of the Board; Articles of Association established and approved to ensure the governance around decision making of the Company and its shareholder, NYCC are understood; Contract management in respect of the contract between NYH and NYCC; Policies and Procedures including Finance and Procurement rules and Scheme of Delegation signed off. A range of “Reserved Matters” which are decision making requirements that require NYCC shareholder sign off are reviewed annually and are audited by First North Law.
- 3.9.2 During the year, an updated Business Plan following the first year of operation has been signed off by both the company Board and the Shareholder setting out the direction for the future and long term business commitments. This business plan is subject to an annual refresh, vital given current market forces and high inflation concerns.

- 3.9.3 It is recognised that people are an integral part of how the service operates and so there has been a focus on ensuring staff feel engaged. The initial TUPE process, although complex, went well and in addition, a restructure of the business is underway removing inconsistent, inefficient area based activity into a task based structure to increase productivity and efficiency and work towards ensuring the culture of the organisations are aligned. This restructure should be implemented by Autumn 2022. The new structure coincides with bringing to an end long-term complex terms and conditions held by former Ringway staff and futureproofs employee legal status.
- 3.9.4 Work is ongoing with IT Infrastructure, finance, procurement and other support services to ensure the supporting infrastructure which enables the business to operate is available and working appropriately. The current task is to refine processes through 'lessons learnt' from year 1, following the 'lift & shift' of the operation, where NYCC looked to replicate the services provided by Ringway Head Office as far as possible through a range of SLA'd services, subject to the same governance as through the company Board and direct support/provision from NYCC teams. This work aligns with the company restructure by simplifying the accounting structure, increasing accuracy and allowing for more appropriate, well informed management by exception.

### **Capital Programme**

- 3.10 Whilst this is identified separately within the Directorate Risk Register there are key items of note:
- 3.10.1 Construction costs and tender prices are a significant risk at the current time and so projects will continue to be carefully monitored to assess the potential for inflation pressures in the construction market to impact on the delivery of the Capital Programme. This has been particularly highlighted following recent tenders, eg A59 Kex Gill Diversion which highlighted the impact that volatile market conditions have had on tender pricing. Funds have been earmarked for general price rises that could be applied, should the need arise, or else programmes will potentially have to be curtailed.
- 3.10.2 As previously reported, best practice for capital management is to utilise a method called "overprogramming". Whilst this could be considered 'business as usual' for the service, Audit Committee should be aware of the associated risks and what governance is in place to help mitigate them. In short, the service programme to spend more than the capital budget allocated in the financial year on the basis that typically some schemes are delayed for a variety of reasons, overprogramming therefore improves the likelihood of spending on budget but at the risk of overspending. The Capital Projects Board monitor this practice on a monthly basis taking intervention as appropriate. The position is the reported to Executive through the Capital Plan and quarterly forecast updates.

## **4.0 Directorate Risk Register**

- 4.1 The Directorate Risk Register (DRR) is the end product of a systematic process that identifies risks at Service level, and then aggregates these via a sieving process to Directorate level. A similar process sieves Directorate level risks into the Corporate Risk Register.
- 4.2 The Risk Prioritisation System used to derive all risk registers across the Council 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)
- 4.3 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 as a whole in the year.
- 4.4 A summary of the DRR is also attached at **Appendix A**. 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 The latest detailed DRR is shown at **Appendix B**. This shows a range of key risks and the risk reduction actions designed to minimise them together with a ranking of the risks both at the present time and after mitigating actions.
- 4.6 A review of the BES DRR took place at the end of September 2022 and has been signed off by the Corporate Director and Management Team.
- 4.7 The key amendments that have been made to the DRR since October 2021 (date of last progress report to the Committee) are as follows:-
- 4.7.1 Deleted risk
- Minerals and Waste Joint Plan – the Joint Plan has been completed and agreed. As this risk no longer exists it has been deleted from the register.
- 4.7.2 New risks
- Passenger Transport Market Resilience – this risk has been added at this level due to the difficulties facing transport contractors such as increased fuel costs and the consequent reduced commerciality of routes and current market pressures.
  - Brierley Homes Ltd – this risk has been added as the uncertainty around increases in house building costs and supply chain issues continue. Although the second ranking of this risk is 4, it is considered a high amber risk following the reduction actions.
- 4.7.3 Key changes to risks
- Long Term Waste Service Strategy – this risk continues to review the Government Resources and Waste Strategy and network groups help to shape the next level of legislation.
  - Growth – an annual review of progress of the NYCC Economic Growth and Delivery Plan and Action Plan has been carried out, and the spatial framework is now available on line.
  - Major Schemes and NY Highways – these risks have both reduced in their ranking within the register.
  - Devolution – this risk has been significantly altered since the announcement and now focusses on Devolution opportunities and ensuring a link with Local Government Reorganisation.

## **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.

KARL BATTERSBY  
Corporate Director – Business & Environmental Services






Report prepared by Vicki Dixon

Risk Register: **Month 0 (Aug 2022) – summary**  
 Next Review due: **February 2023**  
 Report Date: **5<sup>th</sup> October 2022 (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		
- new -	7/260 - Passenger Transport Market Resilience	Failure to support improved transport contractor resilience in the face of lower subsidies, reduced commerciality of routes and the impacts of Covid and current market pressures resulting in significant loss of services and pressure to find additional funding to maintain/takeover services	CD BES	BES AD TE&CS	H	L	M	H	M	1	7	31/12/2022	H	L	M	H	M	1	Y	BES AD TE&CS
	7/175 - Delivering Change Programmes within BES	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement programmes of change in BES e.g. Local Government Reorganisation, implications of the establishment of a Mayoral Combined Authority, new ways of working with NY Highways and the BES Transformation 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	M	H	H	H	M	2	9	31/03/2023	L	M	M	H	L	3	Y	CD BES
	7/18 - Long Term Waste Service Strategy	Failure to further develop the long term waste service strategy (including Resources and Waste Service Strategy, LGR, 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 TE&CS	M	L	H	L	H	2	4	31/03/2023	L	L	H	L	M	3	Y	CD BES
	7/24 - Capital Programme	Ineffective management of capital programme including any major project and LTP capital programme leads to significant overspend/underspend, weak use of resources, loss of reputation and non-achievement of the desired outcomes re delivery of the programme and effective management of asset.	CD BES	CSD AD SR (VD)	M	M	H	M	M	2	11	31/07/2023	L	M	H	M	M	3	Y	CD BES



Risk Register: **Month 0 (Aug 2022) – summary**  
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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		
	<b>7/232 - Growth</b>	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 working with the emerging devolution deal. 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 (VD) BES AD GP&TS	M	H	H	H	M	2	6	31/03/2023	L	H	H	H	L	3	Y	BES AD GP&TS
<b>- new -</b>	<b>7/259 - Brierley Homes Ltd</b>	Failure to maintain or increase business development building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL to provide a consistent pipeline and compete effectively in an open market.	CD BES	BES AD GP&TS	H	L	M	L	M	2	7	30/09/2022	M	L	M	L	M	4	Y	BES AD GP&TS
	<b>7/189 - Major Schemes</b>	Failure to deliver the programme of major transport schemes resulting in impact on the county council's growth plan and negative impact on national and regional partner relations.	CD BES	BES AD H&T	L	M	H	L	M	3	5	31/07/2023	L	M	H	L	H	3	Y	BES AD H&T
	<b>7/23 - Major Incident and Business Continuity</b>	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	6	31/03/2023	L	M	H	H	M	3	Y	CD BES
	<b>7/7 - Statutory Duties</b>	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	30/09/2023	L	M	M	M	H	3	Y	CD BES
	<b>7/247 - NY Highways</b>	Failure to ensure the arrangements for highways maintenance services in place are performing as required with the desired flexibility and not resulting in service disruption, increased costs and criticism	CD BES	BES AD H&T	L	H	H	H	H	3	8	31/07/2023	L	H	H	H	H	3	Y	NYH Comm Mgr

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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		
- new -	<b>7/174 - Devolution Implementation in North Yorkshire (corporate view)</b>	Failure to successfully implement Devolution results in loss of opportunities for North Yorkshire	CD BES	CD BES	L	M	H	M	H	3	4	30/09/2022	L	L	H	L	M	3	Y	BES AD EPU

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

Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 1 - Identification											
<b>Risk Number</b>	7/260	<b>Risk Title</b>	7/260 - Passenger Transport Market Resilience				<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD TE&CS	
<b>Description</b>	Failure to support improved transport contractor resilience in the face of lower subsidies, reduced commerciality of routes and the impacts of Covid and current market pressures resulting in significant loss of services and pressure to find additional funding to maintain/takeover services					<b>Risk Group</b>	External market	<b>Risk Type</b>	TE&CS 14/8		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Effective liaison; market intelligence; support if required; financial checks on key suppliers; commercial sector service development manager appointed; contractor relief payments made throughout Covid period; Transport board to ensure directorate awareness of issues;								
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	I
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	10/379 - Continue to use market intelligence and increased commerciality to monitor and resolve contractor issues;						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	10/625 - Annual review of operator processes and procedures as part of compliance team visits with follow up actions where necessary. ongoing						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	10/662 - Carry out review of public transport network including community transport and present to Mgt Board; YorBus DR pilot has been extended for 12 months						BES TE&CS HoTS	Sat-31-Dec-22			
<b>Reduction</b>	14/210 - Complete continuity plan re key contractor loss including any lessons learned from Covid; ongoing part of service BCP docs (ensure adequate resilience in the OPS team to respond to market failure)						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	14/398 - Hold liaison meetings with key contractors regarding their viability and commerciality when necessary						BES TE&CS HoTS	Mon-31-Jul-23			
<b>Reduction</b>	14/448 - Continue to administer DFT covid relief fund						BES TE&CS HoTS	Fri-31-Mar-23			
<b>Reduction</b>	14/522 - Transport board to ensure directorate awareness of issues						BES TE&CS HoTS	Mon-31-Jul-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	I
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	10/122 - Seek funding; alternative operators known; consider in-house provision								BES AD TE&CS		

Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 1 - Identification											
<b>Risk Number</b>	7/175	<b>Risk Title</b>	7/175 - Delivering Change Programmes within BES					<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES MT
<b>Description</b>	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement programmes of change in BES e.g. Local Government Reorganisation, implications of the establishment of a Mayoral Combined Authority, new ways of working with NY Highways and the BES Transformation Programme. This could result in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.						<b>Risk Group</b>	Change Mgt	<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Chief Executive webinars on LGR; corporate communications on Devolution; staff events with NY Highways; staff involvement in LGR working groups; CD BES Staff Updates; reps on Transformation theme; key messages; cascade of Transformation vision and approach; regular AD updates provided on Transformation themes; quarterly performance monitoring at BES MT; quarterly MTFs savings monitoring at BES MT; political agreement and acknowledgement of risks; BES MT engagement on budget; regular reporting on Transformation Infrastructure theme at BES MT; staff survey outcomes implemented as and when necessary; ideas generation and review process established; regular reporting on customer based theme on change at BES MT; AD surgeries and staff engagement sessions in place following Staff Survey;								
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/93 - Continue communication/engagement arrangements with staff on Transformation Programme (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/260 - Continue to monitor impacts of Transformation Infrastructure theme (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/265 - Promote and embed cultural change through key messages, KITs, manager and non-manager objectives, regular reporting on progress of change projects and impacts of daily operations on delivery of aims (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/450 - Continue to provide the support to innovate new ideas to contribute to the MTFs (ongoing)						CSD AD SR (VD)	Sat-30-Sep-23			
<b>Reduction</b>	7/451 - Ensure appropriate allocation of resources to deliver change projects (ongoing)						CSD AD SR (VD)	Sat-30-Sep-23			
<b>Reduction</b>	7/612 - Ensure effective engagement in the LGR change programme including Chief Executive webinars and workstream briefings to staff						BES MT	Fri-31-Mar-23			
<b>Reduction</b>	7/613 - Consider and respond to any issues arising from the Staff Survey 2021						BES MT	Fri-31-Dec-21	Mon-31-Jan-22		
<b>Reduction</b>	7/1502 - Ensure effective communications in relation to the establishment of a Mayoral Combined Authority						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1959 - Continue NY Highways staff engagement events						BES AD H&T	Sat-30-Sep-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	H	<b>Reputation</b>	L	<b>Category</b>	3

Risk Register: **Month 0 (Aug 2022) – detailed**  
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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	7/539 - Review approach to the delivery of change programmes and cultural change management within BES	CD BES

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Phase 1 - Identification											
<b>Risk Number</b>	7/18	<b>Risk Title</b>	7/18 - Long Term Waste Service Strategy				<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD TE&CS	
<b>Description</b>	Failure to further develop the long term waste service strategy (including Resources and Waste Service Strategy, LGR, 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					<b>Risk Group</b>	Performance	<b>Risk Type</b>	W&CS 14/168		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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; 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; agreement on settlement of disputes relating to first contract year; new head of service appointed; YNY Waste Partnership (to include transition through LGR), paper on Resources and Waste Service Strategy, business case for a single system for waste following introduction of legislation produced; response provided for Extended Producer Responsibility/Deposit Return Scheme consultations;								
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/377 - Continue to review Government Resources and Waste Strategy including food waste collections, and engage with Government through network groups to help shape the next level of legislation. Continue to assess impacts and opportunities. ongoing					BES TE&CS HoS(W)	Mon-31-Jul-23				
<b>Reduction</b>	7/419 - Develop proposals for separate food waste collections and consistent recycling as required by the new legislation and LGR (ongoing); countywide WRAP exercise to see how we collect waste at the kerbside, legal review of AWRP contract )					BES TE&CS HoS(W)	Fri-31-Mar-23				
<b>Reduction</b>	7/439 - Work with North Yorkshire Waste Forum to achieve an effective waste management function, through actions including staff engagement and regular quality meetings					BES AD TE&CS	Fri-31-Mar-23				
<b>Reduction</b>	14/578 - Continue to monitor Amey's progress against their improvement plan targets - ongoing					BES TE&CS WCM	Mon-31-Jul-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	7/73 - Rely short term on recently procured arrangements, review strategy, media management								<b>Action Manager</b>		
									CD BES		

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Phase 1 - Identification											
<b>Risk Number</b>	7/24	<b>Risk Title</b>	7/24 - Capital Programme				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CSD AD SR (VD)	
<b>Description</b>	Ineffective management of capital programme including any major project and LTP capital programme leads to significant overspend/underspend, weak use of resources, loss of reputation and non-achievement of the desired outcomes re delivery of the programme and effective management of asset.					<b>Risk Group</b>	Financial	<b>Risk Type</b>	H&T 9/195		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Project management - regular financial and project planning, monitoring and reporting of the projects; risk assessment for major schemes; project management training for key BES staff; PIR of major projects; lessons learnt/implemented; Programme management - operational and strategic programme management/monitoring and reporting through NYH, H&T and BES management structures and Executive Members, reporting through NYH; risk assessment carried out in Capital Plan reports feed into MTFS; highways capital programme resource / manager to drive delivery of the programme implemented; Schemes portal; 3 year rolling works programme with realistic targets and alignment of internal and external delivery resources; specific monitoring of separately funded capital works; LEAN review of Capital Programme completed; introduction of efficiency measures for capital projects and programmes where relevant; lessons learnt/implemented; external review of capital programme carried out; Highways Maintenance Investment tool being used; Governance – Gateway training carried out; Capital Projects Board in operation; sub group of Capital Projects Board in place when required; Full Capital Plan meetings at appropriate times; NYH Board; 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; assurance framework for LEP in place, contract management health measurement and reporting in place; substantial assurance audit report; implementation of forward programme of planned maintenance, three year rolling delivery programme in place;								
<b>Probability</b>	M	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/427 - Ensure effective delivery of the Transforming Cities Fund (TCF) project in Skipton, Harrogate and Selby working with District Councils and within the WYCA governance arrangements (project end March 2023); TCF project manager appointed						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1504 - Monitor impact of the reduction in the 2021/22 capital programme in comparison with the previous forecast and consideration of budget and programme scenarios ahead of future years' LTP budget allocation; confirmed settlement in place through to 24/25, but no annual inflationary uplift						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1967 - Active involvement in NYH post Go Live to ensure processes and procedures are working properly and are fit for purpose						BES AD H&T CSD AD SR (VD)	Mon-31-Jul-23			
<b>Reduction</b>	7/1968 - Active forward planning by the service to ensure it is agile and has the ability to respond to funding announcements quickly and appropriately that arise at short notice and / or late in the financial year; with three year delivery programme						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/1973 - Capital update meetings to ensure programme on track						BES H&T HoNS CD BES CSD AD SR (VD)	Mon-31-Jul-23			
<b>Reduction</b>	7/1974 - Monitoring of the national environment re price and delivery times to ensure the service can react in a timely manner to changes; the collaborative arrangement with NYH allows us to look at internally and externally at NYH and wider costs						BES AD H&T	Mon-31-Jul-23			

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<b>Reduction</b>	9/353 - Need for LTP capital programme process mapping session, followed later by a LEAN review; has commenced, led by NYH comm servs team	BES AD H&T	Mon-31-Jul-23								
<b>Reduction</b>	9/355 - Regular weekly meetings between H&T, Procurement and NYH teams to ensure NYH programme delivery	BES AD H&T	Mon-31-Jul-23								
<b>Reduction</b>	9/472 - Ensure effective engagement with Veritau and suitable post audit responses are produced following reviews of different aspects of capital programme	BES H&T HoNS	Mon-31-Jul-23								
<b>Reduction</b>	9/551 - hNY Improvement Action Plan including continuous improvement within the service	BES H&T HoNS	Mon-31-Jul-23								
<b>Reduction</b>	9/554 - Scoping potential for corporate funding request to make up balance on planned maintenance (for consideration)	BES H&T HoNS	Mon-31-Jul-23								
<b>Phase 4 - Post Risk Reduction Assessment</b>											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	M	<b>Category</b>	3
<b>Phase 5 - Fallback Plan</b>											
<b>Fallback Plan</b>	7/72 - Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board									<b>Action Manager</b>	
										CD BES	



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Phase 1 - Identification											
<b>Risk Number</b>	7/232	<b>Risk Title</b>	7/232 - Growth				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CSD AD SR (VD) BES AD GP&TS	
<b>Description</b>	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 working with the emerging devolution deal. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	GP&TS 13/233		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Direct contribution and support, including through provision of accountable body function, to the YNYER Local Enterprise Partnership; maintenance of an Economic Growth Function within BES; Proactive engagement in LGNY partnership working including through Directors of Development, Chief Housing Officers, Heads of Planning and Economic Development Officer Groups; Lead role in enabling and further developing YNYERH Spatial Framework; Lead role in supporting and developing the NYCC Growth Plan Steering Group and sub-ordinate arrangements; Lead role in initiating and developing the NYCC Economic Growth Plan and annual Delivery Framework (endorsed by Executive); Devolution deal provisionally agreed subject to public consultation								
<b>Probability</b>	M	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/1958 - Continue to embed enhanced collaborative working arrangements with District Councils (annual review of progress and developed a pipeline of strategic projects to work together on.) – ongoing with regular review of resources needed to deliver projects					BES AD GP&TS	Fri-31-Mar-23				
<b>Reduction</b>	7/1960 - Maintain good working relationship with the LEP (including work to align LEP funding initiatives with Council Initiatives and with the Directors of Development master planning funding, Coordinated devolution asks. Carbon abatement pathways, local energy action plans) (ongoing)					CD BES	Thu-31-Aug-23				
<b>Reduction</b>	7/1961 - Continue to understand and investigate any impacts of new legislation and funding streams, impacts of change from CAP to ELMS payments in agriculture being monitored; ex EU Funding now becoming UK funding streams eg. CRF, levelling up and Shared Prosperity Fund					BES AD EPU CD BES	Thu-31-Aug-23				
<b>Reduction</b>	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) ongoing; action plan produced; govt legislation through environment act and devolution ask					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	13/533 - Continue to monitor the Devolution agreement and communication with stakeholders to maximise opportunities (ongoing); the York/NY geography is being used in some areas of growth work (ongoing)					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	13/602 - Take part and lead on technical aspects relating to the Natural and Historic Environment and implement necessary strategy and delivery relating to biodiversity, local nature recovery and climate change mitigation					BES AD GP&TS	Thu-31-Aug-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	L	<b>Category</b>	3

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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	7/551 - Review and revise existing arrangements for sustainable economic growth	BES AD GP&TS

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Phase 1 - Identification											
<b>Risk Number</b>	7/259	<b>Risk Title</b>	7/259 - Brierley Homes Ltd				<b>Risk Owner</b>	CD BES	<b>Manager</b>	BES AD GP&TS	
<b>Description</b>	Failure to maintain or increase business development building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL to provide a consistent pipeline and compete effectively in an open market.					<b>Risk Group</b>	Competitive or Economic	<b>Risk Type</b>			
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Construction manager and basic team in place (under development); Business strategy for various routes of delivery in place; Council services available; compliance with H&S policy and procedures; evaluation of contractors performance; evaluation of market values and influences for the supply chain; evaluation of market values and influences for land acquisition; governance service from Veritau; regular reports provided to NYCC;								
<b>Probability</b>	H	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	2
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/568 - Continue to monitor contractor performance through regular reporting and discussion to resolve issues					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	7/581 - Recruitment of project managers and administration manager to provide resilience					BES AD GP&TS	Mon-31-Oct-22				
<b>Reduction</b>	7/584 - Further discuss and agree extra Council Finance service resource					BES AD GP&TS	Fri-30-Sep-22				
<b>Reduction</b>	7/598 - Develop and implement a business plan in respect of resources to deliver strategies					BES AD GP&TS	Mon-31-Oct-22				
<b>Reduction</b>	7/614 - Develop and implement new procedures for an in house model of delivery					BES AD GP&TS	Sat-31-Dec-22				
<b>Reduction</b>	7/1962 - Continue to evaluate market values and influences for the supply chain;					BES AD GP&TS	Thu-31-Aug-23				
<b>Reduction</b>	7/1972 - Continue to evaluate market values and influences for land acquisition					BES AD GP&TS	Thu-31-Aug-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	M	<b>Objectives</b>	L	<b>Financial</b>	M	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	4
Phase 5 - Fallback Plan											
								<b>Action Manager</b>			
<b>Fallback Plan</b>	7/567 - Further review and revise business model and escalate							BES AD GP&TS			

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Phase 1 - Identification											
<b>Risk Number</b>	7/189	<b>Risk Title</b>	7/189 - Major Schemes				<b>Risk Owner</b>	CD BES		<b>Manager</b>	BES AD H&T
<b>Description</b>	Failure to deliver the programme of major transport schemes resulting in impact on the county council's growth plan and negative impact on national and regional partner relations.					<b>Risk Group</b>	Performance		<b>Risk Type</b>	Dir Only	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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 2021);								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	7/318 - Continue to engage with the wider strategic partnership and support them to manage risks associated with specific scheme programmes (ongoing)					CD BES	Mon-31-Jul-23				
<b>Reduction</b>	7/436 - Continue to ensure sufficient resource in H&T to effectively deliver County Council schemes (ongoing)					BES AD H&T	Mon-31-Jul-23				
<b>Reduction</b>	9/583 - Ensure NYCC identify appropriate sources of funding to support grant funding applications to demonstrate any partial match funding requirement					BES AD H&T BES H&T HoNS	Mon-31-Jul-23				
<b>Reduction</b>	9/585 - Continue to work closely with WSP (and where appropriate, Align Property Partners) to ensure that resources match programme of transport schemes requirements (ongoing)					BES AD H&T	Mon-31-Jul-23				
<b>Reduction</b>	9/900 - Understand pipeline opportunities medium to long term in order to maximise future LG changes in respect of Devolution combined authority status					BES AD H&T	Mon-31-Jul-23				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	H	<b>Category</b>	3
Phase 5 - Fallback Plan											
<b>Fallback Plan</b>	7/537 - Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood									<b>Action Manager</b>	BES AD H&T

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Phase 1 - Identification											
<b>Risk Number</b>	7/23	<b>Risk Title</b>	7/23 - Major Incident and Business Continuity					<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES
<b>Description</b>	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.						<b>Risk Group</b>	Performance	<b>Risk Type</b>		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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;								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/374 - Ensure that resources are flexible enough to manage unexpected major and business continuity incidents including Coronavirus (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/444 - Continually review procedures plans and training in relation to major incidents (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/446 - Annual live or desk top exercises to test plans, and including the incident and response and continuity plan with NY Highways (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/587 - Ensure sufficient capacity is present to be able to manage a major incident						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1970 - Consider recent significant natural events relative to the impact of climate change and plan accordingly						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1971 - Discuss BCP arrangements for critical services with Districts and identify potential gaps						BES AD H&T	Fri-31-Mar-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
									<b>Action Manager</b>		
<b>Fallback Plan</b>	7/75 - Review the plans, media management, advise Members								CD BES		

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Phase 1 - Identification											
<b>Risk Number</b>	7/7	<b>Risk Title</b>	7/7 - Statutory Duties					<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES
<b>Description</b>	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.						<b>Risk Group</b>	Performance	<b>Risk Type</b>	Dir Only	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			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;								
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/458 - Ensure that the current H&S procedures are audited to ensure compliance (ongoing)						CD BES	Sat-30-Sep-23			
<b>Reduction</b>	7/459 - Review/monitor the H&S arrangements of Contractors and Partner organisations (ongoing)						BES AD H&T	Sat-30-Sep-23			
<b>Reduction</b>	7/461 - To monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/462 - Review incidents and claims statistics including large losses and develop action plans (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	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	Sat-30-Sep-23			
<b>Reduction</b>	7/1965 - Work closely with the Data Governance team in Strategic Support to review and update local information governance arrangements (ongoing)						BES MT	Sat-30-Sep-23			
<b>Reduction</b>	7/1966 - Continue to implement awareness raising campaign for information governance (ongoing)						BES MT	Sat-30-Sep-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	M	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3

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Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	7/78 - Implement appropriate management and contingency plans; review priorities and reprioritise service delivery; media management	CD BES

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Phase 1 - Identification											
<b>Risk Number</b>	7/247	<b>Risk Title</b>	7/247 - NY Highways				<b>Risk Owner</b>	CD BES		<b>Manager</b>	BES AD H&T
<b>Description</b>	Failure to ensure the arrangements for highways maintenance services in place are performing as required with the desired flexibility and not resulting in service disruption, increased costs and criticism					<b>Risk Group</b>	Contracts		<b>Risk Type</b>	H&T 9/246	
Phase 2 - Current Assessment											
<b>Current Control Measures</b>			Governance arrangements in place; ; initial operating model completed; NY Highways Managing Director appointed; governance framework in place, mobilisation plans in place, Company Board in operation; go live following risk reviews on all work streams achieved with Board sign off;								
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
							<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>		
<b>Reduction</b>	7/580 - Continued close monitoring of the remaining procurement arrangements and timelines to ensure impact of any issues are understood and managed; need to develop and if necessary replace some of the procurement arrangements currently in place to increase efficiency; more robust contract management being introduced to improve analysis of contracts and replace where appropriate						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	7/588 - Ensure H&S is appropriately managed during the transition period and into the operational phase; H&S mobilisation plan produced to ensure that day one training and compliance is in place; some further H&S accreditation and training to complete; training needs assessed and training has taken place throughout the year; electronic near miss and accident reporting app has been rolled out; training matrix in place; SLA with NYCC training and learning						BES AD H&T	Mon-31-Jul-23			
<b>Reduction</b>	7/597 - Complete the mobilisation of the contract including staff implementation and understanding of acceptable working practice norms; need to continue recruitment to vacant posts, recognising current demand pressures around drivers; recruitment issues continue across all areas; new Ts and Cs agreed by mgt board						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/235 - Ensure monitoring and reporting arrangements are in line with agreed governance arrangements, to include close budget monitoring and adjustment where necessary						CD BES	Mon-31-Jul-23			
<b>Reduction</b>	9/561 - Put support service arrangements in place between NYCC and new company; need to produce next iteration of support service costed proposals based on information from operating model; SLAs to sign off; all SLAs now signed off and will be reviewed with a view to new or amended arrangements for coming years						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/567 - Develop the NYH operations manual including performance indicators; CPIs agreed and will be included along with operating procedures; now a rolling document to sit alongside the contract; ongoing						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/701 - Review financial position to ensure that true NYH costs are known and reported on; quarterly report going to board						NYH Comm Mgr	Mon-31-Jul-23			
<b>Reduction</b>	9/702 - Trialling new ways of working and analysing outcomes swiftly to ensure that impact is known and acted upon.						NYH Comm Mgr	Mon-31-Jul-23			
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	H	<b>Financial</b>	H	<b>Services</b>	H	<b>Reputation</b>	H	<b>Category</b>	3



Risk Register: **Month 0 (Aug 2022) – detailed**  
 Next Review due: **February 2023**  
 Report Date: **5<sup>th</sup> October 2022 (pw)**

Phase 5 - Fallback Plan		Action Manager
<b>Fallback Plan</b>	9/559 - Focus on under-performing areas with agreed remedial actions, if continued issues then options appraisal for service delivery	NYH Comm Mgr

Risk Register: **Month 0 (Aug 2022) – detailed**  
 Next Review due: **February 2023**  
 Report Date: **5<sup>th</sup> October 2022 (pw)**

Phase 1 - Identification											
<b>Risk Number</b>	7/174	<b>Risk Title</b>	7/174 - Devolution Implementation in North Yorkshire (corporate view)				<b>Risk Owner</b>	CD BES	<b>Manager</b>	CD BES	
<b>Description</b>	Failure to successfully implement Devolution results in loss of opportunities for North Yorkshire					<b>Risk Group</b>	Strategic	<b>Risk Type</b>	EPU 176/211		
Phase 2 - Current Assessment											
<b>Current Control Measures</b>		Programme management function in place; micro site set up for sharing information with the public;									
<b>Probability</b>	L	<b>Objectives</b>	M	<b>Financial</b>	H	<b>Services</b>	M	<b>Reputation</b>	H	<b>Category</b>	3
Phase 3 - Risk Reduction Actions											
						<b>Action Manager</b>	<b>Action by</b>	<b>Completed</b>			
<b>Reduction</b>	176/287 - Develop full implementation plan – Part 1 - complete the legal governance procedures to create a combined authority					BES AD EPU CSD ACE LDS	Tue-28-Feb-23				
<b>Reduction</b>	176/288 - Develop full implementation plan – Part 2 - implement the content of the devolution deal					BES AD EPU	Fri-31-May-24				
<b>Reduction</b>	176/289 - Develop full implementation plan – Part 3 - develop the combined authority organisational structure and associated functions					BES AD EPU	Wed-31-Jan-24				
<b>Reduction</b>	176/290 - Create Joint Committee to act as shadow combined authority					BES AD EPU CSD ACE LDS	Fri-30-Sep-22				
Phase 4 - Post Risk Reduction Assessment											
<b>Probability</b>	L	<b>Objectives</b>	L	<b>Financial</b>	H	<b>Services</b>	L	<b>Reputation</b>	M	<b>Category</b>	3
Phase 5 - Fallback Plan											
										<b>Action Manager</b>	
<b>Fallback Plan</b>	176/566 - None								BES AD EPU		