

North Yorkshire Council

Audit Committee

23 October 2023

Internal Control Matters for the Environment Directorate

Report of the Corporate Director – Environment

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 Environment Directorate.

2.0 Background

- 2.1 The Audit Committee is required to assess the quality and effectiveness of the corporate governance arrangements operating within North Yorkshire Council. In relation to the Environment 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 Environment Management Team receives and considers a report quarterly.

3.0 Directorate Update

The main areas of note for the Directorate are:

- 3.1 As with other areas of the Council, the Directorate has been, and continues to be, impacted by wider economic factors such as the rising levels of inflation in the UK increasing the cost of materials and salaries which impacts the Directorate directly and also through the supply chain. The main contributors continue to be in the costs of labour, energy and materials although energy prices remain a volatile fluctuating area.
 - 3.1.1 In addition, the focus of the Directorate has also necessarily been on implementing Local Government Reorganisation, setting up the new North Yorkshire Council for vesting day on 1 April 2023. Work in this area was prioritised during 22/23 and has then continued in the months following 1 April 2023 to ensure the smooth transition to working as North Yorkshire Council and the new Environment Directorate. More details are included in section 3.11 below.
- ##### Highways & Transportation
- 3.2 The key focus for the highways service was to continue to deliver business as usual services during the lead up to LGR vesting day and beyond which was successfully achieved. The focus has now turned onto developing and delivering a transformation plan that gets the best out of the move to a new unitary council which sees street scene, parks and grounds and highways activities now being delivered by one organisation.

- 3.2.1 The highways service continues to give support to North Yorkshire Highways (NYH), as the front-line delivery agency. Rising materials costs across the sector continue to create 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. The Council is now benefiting from the new flexibilities of the Teckal arrangement which saw NYH help to soften the impact of potential cost rises on the surface dressing programme through a negotiated approach with the contractor.

Waste Management

- 3.3 On the establishment of North Yorkshire Council, the new council took on responsibility for both the collection and disposal of household waste. The new Council became the waste collection authority, a role previously carried out by the district and borough councils, along with the waste disposal authority which, prior to LGR, was the responsibility of the county council. A Health and Safety review is ongoing in conjunction with NYC's Health and Safety Team and Yorwaste.
- 3.3.1 On behalf of North Yorkshire Council, Yorwaste continue to be contracted to provide Household Waste Recycling Centre (HWRC) services and as well as the waste transfer operations which the company was previously contracted to carry out for the county council. Overall Yorwaste pay health & safety of staff particular regard, having been certified ISO45001 (Integrated HSE management system).
- 3.3.2 For waste transfer station operations, focus 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.

Environment & Climate Change

- 3.4 The Climate change strategy has been approved at North Yorkshire Council Executive with a Head of Service role being recruited to drive this forward. A restructure within the team is ongoing along with work underway with Directorates to develop climate action plans by March 2024. In order to ensure a focus on this area, Cllr Paul Haslam has been appointed as Climate change champion with the role currently being reviewed and refined.

Integrated Passenger Transport (IPT)

- 3.5 Service delivery across all areas continues to be difficult as the bus industry tries to recover from the impact of the pandemic and subsequent economic situation. In the public transport sector, passenger numbers are slowly returning. The DfT has recently provided a £2.9m "BSIP+" grant to the Council which will be utilised to protect existing service provision. A major procurement is underway for our supported local bus services and this will be completed by 31 March 2024.
- 3.5.1 In the Home to School transport sector, we continue to see challenges in the private sector market as they struggle to secure drivers and deal with the increased costs in relation to staff pay, fuel, parts and maintenance. Alongside this, we have seen new operators enter the market, one of which has considerable experience of operating at scale across local authority areas. Work will continue to stimulate private sector competition in an attempt to drive down contract costs.

Fleet and Operations

3.6 The asset management and maintenance of fleet items has been improved by the introduction of a fleet management system across all former district council areas. This system is shared between NYC and NY Highways and ensures good visibility and robust management of our fleet costs. 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 and drafting a future fleet strategy to decarbonise our fleet in line with climate change commitments. The Council is also committed to maintaining high quality vehicles, with a focus on compliance with our Operator Licence requirements (Operator Compliance Risk Score), and reports regularly on this issue.

3.6.1 The Operations team deliver a large number of 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.

Harbours

3.7 A future harbour strategy is under development, co-designed with stakeholders, that will set out how the harbour will develop over the next 20 years prioritising protection of the fishing industry and maximising the opportunity from the offshore wind and leisure sectors.

Licensing

3.8 North Yorkshire Council adopted a new consolidated taxi licence policy as part of the work undertaken on LGR. As part of this policy, further work is underway to develop an inclusive service plan to investigate measures to increase the provision of wheelchair accessible vehicles and to ensure that taxi provision is accessible to all. An update to the policy, to incorporate the findings of this project, will be brought forward in the new year.

3.8.1 As part of local government reorganisation, North Yorkshire Council will need to consolidate other licencing policies, such as for gambling and licensed premises, within the next two years.

Regulatory Services

3.9 The key focus for the Regulatory Services has been to continue to deliver business as usual in terms of service during the initial months of the new Unitary Council. This has meant ensuring that all of the reactive investigatory work relating to noise nuisance, and consumer complaints has continued under existing working arrangements in addition to the planned inspection regimes undertaken in respect of food hygiene and safety, animal welfare and private water supplies.

Registrars, Bereavement and Coroners Service

3.10 The Registrars and bereavement service are focussing on maintaining a high-level customer focussed service in the early months of the new Council.

3.10.1 The support service to the Coroner is being evaluated to consider more joined up service delivery linked to the North Yorkshire Police function and to take into account the directions from the Chief Coroner about developing closer working relationships. This is all designed to allow the Coroner to focus on the judicial role to which they are appointed rather than the investigative and administrative tasks that are associated with the inquest process.

Local Government Reorganisation (LGR)

- 3.11 Capacity and prioritisation continue to be significant issues in the Directorate, particularly in light of the challenges presented by Local Government Reorganisation following the launch of the new North Yorkshire Council on 1 April 2023. The Directorate continues to play a key role in this fundamental Council initiative and over the year has moved from leading several LGR workstreams ahead of vesting day to transitioning to working as part of the new Council, bringing services from the previous county, district and borough councils together to work in a cohesive way. Setting up the new North Yorkshire Council involved representatives from the services within the Directorate being involved in and/ or leading several workstreams which ensured all necessary arrangements for each service were in place for vesting day on 1 April 2023 including appropriate governance arrangements.
- 3.11.1 Post vesting day, the Directorate has continued the work to bring together services and ensure appropriate governance arrangements are established, embedded and operate effectively. In addition to this, a significant focus of the Directorate is on transformation of services and the savings agenda. The Directorate is working within the Corporate governance framework which has been established for the Transformation agenda.

North Yorkshire Highways

- 3.12 The Company launched successfully on 1 June 2021 and is now in year 3 of operation. During this period the company has been updating and refining governance and internal control processes to ensure they are robust and fit for purpose. The Company Secretary is from fellow Brierley Group Company First North Law, to advise, monitor and maintain governance in respect of investment, operational and financial decisions. Each of the directors have undergone Director training run by First North Law to ensure they are aware of their responsibilities as defined within the Companies Act.
- 3.12.1 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, NYC are understood; Contract management in respect of the contract between NYH and NYC; 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 NYC shareholder sign off are reviewed annually and are audited by First North Law.
- 3.12.2 Each year, an updated Business Plan 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. The plan is based around managing the risks as defined and set out in the risk management plan. The plan is updated monthly by NYH Senior Leadership Team and any issues are addressed through mitigation measures.
- 3.12.3 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. A restructure of the business removing inconsistent inefficient activities to increase productivity and efficiency was completed in the third quarter of 22/23. NYH continues to work towards ensuring there is a granularity of performance and financial data. This is demonstrated to the board members on a monthly basis.
- 3.12.4 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 introduction of finance systems that automate ordering of

material and removal of manual process, along with providing a hierarchical approval process and audit trail. Coupled with having strict controls on area by area financial performance reporting and forecast has provided the granularity of data required to manage performance. All business functions have documented processes which are going through an accreditation process to the ISO 9000, 14000 and 45000 for quality, quality health and safety and environmental compliance. Certification is expected third quarter of 23/24. This will provide the business with the ability to not only deliver council services to a high consistent standard but also to market its services externally.

Capital Programme

3.13 Whilst this is identified separately within the Directorate Risk Register there are key items of note:

3.13.1 Construction costs and tender prices continue to be a significant risk at the current time although this has lessened slightly compared with situation envisaged last year but 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. We have made a good start on site with our largest capital scheme which is on the A59 Kex Gill with the contractor completing the site clearance, building a 3km long haul road and carrying out careful temporary removal of drystone walls.

3.13.2 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 then 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 has recently been changed. The process and reports that are provided continue to be similar for ease of understanding, but the Council now uses a 5x5 risk assessment ranging from very low to very high in terms of both likelihood and impact: Once the likelihood and impact for a risk have been assessed, the risk scoring is calculated. The following table shows the scoring, assessment and suggested required actions:

Colour	Score	Assessment	Required Action
	1 - 2	Very Low (tolerate)	Risk should not appear in risk register.
	3 - 4	Low (tolerate)	Regular monitoring, action plan not essential, acceptable just to maintain current controls.
	5 - 9	Medium (treat)	Frequent monitoring, action plan required.

10-12	Medium High (treat)	Frequent monitoring, action plan required to prevent from becoming a red risk.
15 - 16	High (treat)	Constant monitoring, action plan required and escalation to next level for consideration / inclusion.
20 - 25	Very High (treat / terminate)	Constant monitoring, action plan required and escalation to next level with request for inclusion. Consider terminating activity (if an option) where score cannot be reduced by risk mitigation.

- 4.3 The DRR represents the principal risks that may materially impact on the performance and financial outcomes of the Directorate. The Environment (previously Business and Environmental Services) DRR has been reviewed twice since it was presented to this Committee and was last reviewed in August 2023 and represents the risks of the new Council Directorate.
- 4.4 A summary of the DRR is 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 the 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 The key amendments that have been made to the DRR since October 2022 including the activities and risks of the new Council Directorate (date of last progress report to the Committee) are as follows:-
- 4.6.1 Deleted risks
- Growth – this risk has been transferred to the Community Development Directorate risk register.
 - Devolution Implementation in N Yorkshire – this risk has been transferred to the Community Development risk register.
- 4.6.2 New risks
- Climate Change – this is a new risk on the register and demonstrates the challenges for the Council to achieve carbon neutrality by 2030.
- 4.6.3 Key changes to risks
- Statutory Duties – this risk has increased in ranking as a result of the new Council and the necessary work to harmonise Health and Safety risk assessments and safe systems of work across the services.
 - Long Term Waste Service Strategy – this risk has increased in ranking and its description has been amended to reflect the design and implementation of a new waste service strategy and harmonised waste collection service. It also makes reference to climate change and the implications of the new Emission trading scheme as it applies to Allerton Waste Recycling Park. There are a number of mitigating actions to be carried out relating to the harmonisation of the waste collection service across the new Council including a single policy, procedures and encouraging a collaborative positive culture.
 - Delivering Transformation and Change Programmes within ENV – this risk has had the transformation and savings element added in as part of the work of the new Council. This is reflected both in the current controls and the mitigating actions to be taken. As part of this, the restructure of the Directorate is continuing to be embedded with appropriate support to staff through the process.

- Capital Programme and Major Schemes risks – these risks have had the Kex Gill project added as well as an action to develop a long term strategy for harbours.
- NY Highways – although the ranking of this risk has reduced, it stays on the Directorate register as it remains an important part of the services and continues to be closely monitored.

5.0 Recommendations

5.1 That the Committee:

- Note the Directorate update salient points; and
- Note the Directorate Risk Register for the Environment Directorate; and
- Provide feedback and comments on the Directorate Risk Register and any other related internal control issues.











KARL BATTERSBY
Corporate Director – Environment
October 2023

Report prepared by Vicki Dixon

Risk Register: Annual review (Aug 2023) – summary

Next Review due: February 2024











Report Date: 12th September 2023 (pw)

Risk Trend	Risk	Description	Risk Owner	Risk Manager	Curr Prob	Curr Imp	Current Risk Score	Current Category	Targ Prob	Targ Imp	Target Risk Score	Target Category	FB Plan?
	ENV_13 Climate Change	Failure to support the Council's aim to achieve carbon neutrality of its own operations by 2030, carbon neutrality of the region by 2034 and a carbon negative region by 2040, and also ensure that appropriate mitigations and adaptations are progressed, failure would result in continued / increasing damaging events (eg. floods, heat waves), unmet public expectation and missed opportunities for energy spend reduction	CD ENV	ENV AD ES&CC	H	VH	20	Very High	M	VH	15	High	
	ENV_2 Passenger transport market resilience	Failure to support improved transport contractor resilience (incl Home to School transport) 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 ENV	ENV AD TLPH	H	H	16	High	H	H	16	High	
	ENV_10 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 ENV	ENV MT	H	H	16	High	M	H	12	Medium High	
	ENV_4 Long Term Waste Service Strategy	Failure to design and implement a new waste service strategy which includes a harmonised waste collection service, responding to any relevant change in govt legislation, or commercial benefits from AWRP in support of NY's climate change strategy RI lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP	CD ENV	ENV AD ES&CC	H	H	16	High	M	H	12	Medium High	
	ENV_7 Brierley Homes Ltd	Failure to maintain or increase business development and maintain a steady pipeline 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 ENV	BHL Ops Mgr	H	M	12	Medium High	M	M	9	Medium	

Risk Register: **Annual review (Aug 2023) – summary**

Next Review due: **February 2024**

Report Date: **12th September 2023 (pw)**

	ENV_3 Delivering Transformation and Change Programmes within ENV	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement and savings programmes of change in ENV e.g. Transformation Programme and savings, implications for Transport of the establishment of a Mayoral Combined Authority, more efficient ways of working with NY Highways and Yorwaste and the ENV Service Plans. This could result in adverse impact on service delivery, customer experience, inability to fully meet current and future financial requirements, internal and external criticism.	CD ENV	ENV MT	M	H	12	Medium High	L	H	8	Medium	
	ENV_5 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 ENV	ENV AD H&T; RES AD (VD)	M	H	12	Medium High	L	H	8	Medium	
	ENV_8 Major schemes	Failure to deliver the programme of major transport and coastal engineering schemes resulting in impact on the council's growth plan, negative impact on national and regional partner relations, increased coastal erosion and loss of coastal assets.	CD ENV	ENV AD H&T	M	H	12	Medium High	L	H	8	Medium	
	ENV_11 NY Highways	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 ENV	ENV AD H&T	L	H	8	Medium	L	H	8	Medium	
	ENV_9 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 ENV	ENV MT	L	H	8	Medium	L	H	8	Medium	

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_13	Title	Climate Change		Risk Owner	CD ENV	Risk Manager	ENV AD ES&CC
Risk Description	Failure to support the Council's aim to achieve carbon neutrality of its own operations by 2030, carbon neutrality of the region by 2034 and a carbon negative region by 2040, and also ensure that appropriate mitigations and adaptations are progressed, failure would result in continued / increasing damaging events (eg. floods, heat waves), unmet public expectation and missed opportunities for energy spend reduction				Risk Group	Environmental	Linked Risk(s)	ECC_5
Phase 2 - Current Assessment								
Current Control Measures								
Leadership commitment; Executive member with portfolio responsibilities; reports to Scrutiny cttee Corporate Building and Asset energy efficiency schemes; LGA guidance for councillors; Climate Change awareness training programme for officers and members; Carbon Reduction Plans for legacy Councils; Beyond Carbon board and programme management established; climate change impact assessment tool enables decision makers to better understand the impact of the decisions that they are being asked to make; £1m pump-priming fund established in MTFs to support implementation of carbon reduction plan; integrated carbon reduction plan into council plan and KPIs into Q performance reports; agreement of carbon neutral by 2030 aim for council operations;								
Current Probability	H	Current Impact	VH	Current Risk Score	20	Current Risk Category	Very High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_ECC_16	Utilisation of £1m pump-priming fund established in MTFs to support implementation of carbon reduction plan.					ENV AD ES&CC	31-Jul-2024	
RR_ECC_17	Ongoing review of implementation of climate change impact assessment tool to reflect new climate change strategy and ensure that it is effective and efficient in enabling decision makers to better understand the impact of the decisions that they are being asked to make					ENV AD ES&CC	31-Jul-2024	
RR_ECC_18	Work through the detailed property related considerations; proposals to be developed through the property service including a property decarbonisation plan.					ENV AD ES&CC; RES CP&P HoPS	31-Mar-2024	
RR_ECC_19	Monitor progress on the detailed motor related issues (eg. fleet decarbonisation plan and staff travel policy) and raise concerns where appropriate					ENV AD ES&CC	31-Mar-2024	
RR_ECC_20	Work to agree the NYC Climate Change Strategy					ENV AD ES&CC	30-Jun-2023	31-Jul-2023
RR_ECC_21	New actions required relating to proposed mitigations and adaptations					ENV AD ES&CC	31-Jul-2024	
RR_ECC_31	Create a North Yorkshire Council Climate Adaptation Plan to support services and residents, communities and businesses to prepare for our climate to change. This will assess our risks and identify options for adaptation.					ENV AD ES&CC	31-Mar-2025	

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review due: **February 2024**

Report Date: **12th September 2023 (pw)**

RR_ECC_32	Work with partners, communities, suppliers and businesses to develop climate change awareness, encourage climate responsible choices and implement actions such as scaling up building retrofit projects and increasing low carbon heating, including for NYC's social housing stock	ENV AD ES&CC	31-Jul-2024				
RR_ECC_33	Work to ensure that the Council's Local Plan and Local Transport Plan include appropriate responses to climate change	ENV AD ES&CC	31-Jul-2024				
RR_ECC_34	Investigate how NYC assets such as land and buildings can best be used to generate low carbon energy (including opportunities at the jointly owned assets Energy from Waste plant and closed landfill sites) and highlight potential for carbon capture and storage opportunities	ENV AD ES&CC	31-Jul-2024				
RR_ECC_35	Measure and report on our emissions and plan how and when we will hit our target through the use of a nationally recognised formula to calculate carbon emissions from delivering the services which are under our direct control.	ENV AD ES&CC	31-Jul-2024				
RR_ECC_36	Embed climate change across the council via production of service and directorate level climate change action plans and ongoing awareness raising with Officers and Members	ENV AD ES&CC	31-Jul-2024				
Phase 4 - Target Risk Assessment							
Target Probability	M	Target Impact	VH	Target Risk Score	15	Target Risk Category	High
Phase 5 - Fallback Plan							
Fallback Plan							
Review strategy and implementation methods							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification									
Ref.	ENV_2	Title	Passenger transport market resilience			Risk Owner	CD ENV	Risk Manager	ENV AD TLPH
Risk Description	Failure to support improved transport contractor resilience (incl Home to School transport) 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					Risk Group	Strategic	Linked Risk(s)	ETR_2
Phase 2 - Current Assessment									
Current Control Measures									
Effective liaison; market intelligence; support if required; financial checks on key suppliers; contractor relief payments made throughout Covid period; Transport board to ensure directorate awareness of issues;									
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category	High		
Phase 3 - Risk Mitigation Plan									
Reduction Action							Action Manager	Due Date	Date Completed
RR_ETR_2	Continue to use market intelligence and increased commerciality to monitor and resolve contractor issues;						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_3	Annual review of operator processes and procedures as part of compliance team visits with follow up actions where necessary. ongoing						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_4	Carry out further review of subsidising criteria for public transport services including community transport						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_5	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)						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_6	Hold liaison meetings with key contractors regarding their viability and commerciality when necessary						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_7	Continue to administer DFT local transport fund grants						ENV TLPH HoTS	31-Jul-2024	
RR_ETR_8	Transport board to ensure directorate awareness of issues						ENV TLPH HoTS	31-Jul-2024	
Phase 4 - Target Risk Assessment									
Target Probability	H	Target Impact	H	Target Risk Score	16	Target Risk Category	High		
Phase 5 - Fallback Plan									
Fallback Plan									
Alternative operators known; consider in-house provision; bid for funding as and when available									

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_10	Title	Statutory duties		Risk Owner	CD ENV	Risk Manager	ENV MT
Risk 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	Legislative	Linked Risk(s)		
Phase 2 - Current Assessment								
Current Control Measures								
Service plans; service unit risk registers; allocation of responsibility training for key staff; prof. bodies incl. HSE; CPD; CDM; RMWGs; routine inspections; contractor selection proc; NYC legal and safety advisers; annual contractor training; Designated Directorate H&S Manager and support; regular item on ENVMT; 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, inspections, 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;								
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category	High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_ENV_12	Work with H&S to harmonise the risk assessments and safe systems of work across the service					CD ENV	31-Aug-2024	
RR_ENV_13	Review/monitor the H&S arrangements of Contractors and Partner organisations (ongoing)					ENV MT	31-Aug-2024	
RR_ENV_14	Monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)					ENV MT	31-Aug-2024	
RR_ENV_15	Review incidents and claims statistics including large losses and develop action plans (ongoing)					ENV MT	31-Aug-2024	
RR_ENV_16	Work closely with the Data Governance team in Strategic Support to review and update local information governance arrangements (ongoing)					ENV MT	31-Aug-2024	
RR_ENV_17	Continue to implement awareness raising campaign for information governance (ongoing)					ENV MT	31-Aug-2024	
Phase 4 - Target Risk Assessment								
Target Probability	M	Target Impact	H	Target Risk Score	12	Target Risk Category	Medium High	
Phase 5 - Fallback Plan								
Fallback Plan								
Implement appropriate management and contingency plans; review priorities and reprioritise service delivery; media management								

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification									
Ref.	ENV_4	Title	Long Term Waste Service Strategy			Risk Owner	CD ENV	Risk Manager	ENV AD ES&CC
Risk Description	Failure to design and implement a new waste service strategy which includes a harmonised waste collection service, responding to any relevant change in govt legislation, or commercial benefits from AWRP in support of NY's climate change strategy RI lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP					Risk Group	Strategic	Linked Risk(s)	
Phase 2 - Current Assessment									
Current Control Measures									
Existing NYCC Waste Strategy in place; NYC/CoY/Yorwaste working group in place; AWRP and associated governance; networking intelligence and dialogue with Govt;									
Current Probability	H	Current Impact	H	Current Risk Score	16	Current Risk Category	High		
Phase 3 - Risk Mitigation Plan									
Reduction Action						Action Manager	Due Date	Date Completed	
RR_ECC_1	Continue to review Government Resources and Waste Strategy including food waste collections, and continue to engage with Government through network groups to help shape the next level of legislation. Continue to assess impacts and opportunities including climate change. ongoing					ENV ES&CC HoS(W)	31-Jul-2024		
RR_ECC_2	Develop proposals for separate food waste collections and consistent recycling including impact of resource and waste strategy on existing collections services as required by the new legislation; countywide WRAP exercise to see how we collect waste at the kerbside completed, legal review of impact of change on AWRP contract; await funding details from central gov in relation to food waste collection					ENV ES&CC HoS(W)	31-Jul-2024		
RR_ECC_23	Consider implications of the new Emission trading scheme as it applies to AWRP					ENV ES&CC HoS(W)	31-Jul-2024		
RR_ECC_3	Continue to monitor developments around Extended Producer Responsibilities (unlikely to result in budget saving until at 2025/26) - ongoing					ENV ES&CC HoS(W)	31-Jul-2024		
RR_ECC_30	Agree and implement a single waste collection service across the entire NY area that pulls together various actions including waste collection polices, operating procedures and collaborative positive culture					ENV ES&CC HoS(W)	31-Jul-2024		
RR_ECC_4	Defra questionnaire submitted, interview to follow which will further progress expected timeline for introduction of separate collection of food waste - complete					ENV ES&CC HoS(W)	31-Jul-2023	31-Jul-2023	
RR_ECC_6	Continue to explore opportunities for heat offtake, hydrogen fuel production and bids to the Net Zero Fund for feasibility study for carbon reduction options linked to AWRP, and ensure these activities continue to be documented and reported on					ENV ES&CC CMW	31-Jul-2024		
RR_ECC_8	Continue to monitor Amey's progress against their improvement plan and contract targets and understand the expectation management required in this area - ongoing					ENV ES&CC WCM	31-Jul-2024		

Risk Register: **Annual review (Aug 2023) – detailed**
 Next Review due: **February 2024**
 Report Date: **12th September 2023 (pw)**

RR_ENV_37	Ensure existing outsourced waste services in Selby are effectively brought in house				ENV AD ES&CC	31- Mar- 2024	
Phase 4 - Target Risk Assessment							
Target Probability	M	Target Impact	H	Target Risk Score	12	Target Risk Category	Medium High
Phase 5 - Fallback Plan							
Fallback Plan							
Rely short term on procured arrangements, review strategy, media management							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_7	Title	Brierley Homes Ltd		Risk Owner	CD ENV	Risk Manager	BHL Ops Mgr
Risk Description	Failure to maintain or increase business development and maintain a steady pipeline 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.				Risk Group	Commercial	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
Operation manager, Office Manager and Project teams 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 direct supply chain; evaluation of market values and influences for land acquisition; Evaluation of economical changes and; information governance service from Veritau; regular reports provided to NYCC; direct supply chain of sub contractors to deliver chosen delivery route in place; business plan developed								
Current Probability	H	Current Impact	M	Current Risk Score	12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_ENV_25	Continue to monitor contractor performance through regular reporting and discussion to resolve issues and provide immediate response to issues (ongoing)					BHL Ops Mgr	31-Aug-2024	
RR_ENV_26	Ongoing review of internal labour resource, to ensure resilience and increase skills to better inform future delivery models and business cases					BHL Ops Mgr	31-Oct-2023	
RR_ENV_29	Ongoing review of the contracting model options; every site is assessed for different model options					BHL Ops Mgr	28-Feb-2023	31-Mar-2023
RR_ENV_30	Continue to work with partners and a wider, developing supply chain to develop solutions to mitigate cost pressure issues					BHL Ops Mgr	31-Oct-2023	
RR_ENV_31	Continue to evaluate market values and influences for land acquisition					BHL Ops Mgr	31-Oct-2023	
RR_ENV_32	Ensure compliance with statutory requirements including H&S, Finance, insurance, HR					BHL Ops Mgr	31-Oct-2023	
RR_ENV_33	Continue to evaluate housing market conditions of demand and supply and residual sales values (ongoing)					BHL Ops Mgr	31-Oct-2023	
RR_ENV_34	Continue to monitor the economic climate when considering business cases					BHL Ops Mgr	31-Oct-2023	
Phase 4 - Target Risk Assessment								

Risk Register: **Annual review (Aug 2023) – detailed**
 Next Review due: **February 2024**
 Report Date: **12th September 2023 (pw)**

Target Probability	M	Target Impact	M	Target Risk Score	9	Target Risk Category	Medium
Phase 5 - Fallback Plan							
Fallback Plan							
Further review and revise business model and escalate							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification									
Ref.	ENV_3	Title	Delivering Transformation and Change Programmes within ENV			Risk Owner	CD ENV	Risk Manager	ENV MT
Risk Description	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing improvement and savings programmes of change in ENV e.g. Transformation Programme and savings, implications for Transport of the establishment of a Mayoral Combined Authority, more efficient ways of working with NY Highways and Yorwaste and the ENV Service Plans. This could result in adverse impact on service delivery, customer experience, inability to fully meet current and future financial requirements, internal and external criticism.				Risk Group	Change Mgt	Linked Risk(s)		
Phase 2 - Current Assessment									
Current Control Measures									
Chief Executive webinars on the new NYC Council; new Environment Directorate staff events; Corporate Transformation challenge sessions; staff involvement in transformation project groups; corporate communications on Devolution; staff events with NY Highways; CD ENV 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 ENV MT; quarterly MTFs savings monitoring at ENV MT; political agreement and acknowledgement of risks; ENV MT engagement on budget; quarterly financial monitoring to ENV MT; regular reporting on Transformation Infrastructure theme at ENV MT; staff survey outcomes implemented as and when necessary; ideas generation and review process established; regular reporting on customer based theme on change at ENV MT; AD surgeries and staff engagement sessions; quarterly ENV Heads of Service Forum;									
Current Probability	M	Current Impact	H	Current Risk Score		12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan									
Reduction Action						Action Manager	Due Date	Date Completed	
RR_ENV_1	Continue communication/engagement arrangements with staff on Transformation and Savings Programme (ongoing)					ENV MT	31-Aug-2024		
RR_ENV_2	Continue to monitor impacts and savings arising from the Transformation Programme (ongoing)					ENV MT	31-Aug-2024		
RR_ENV_3	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)					ENV MT	31-Aug-2024		
RR_ENV_35	Ensure appropriate structures are embedded across the Directorate in a timely way with a key focus on recruitment and retention					ENV MT	31-Dec-2023		
RR_ENV_36	Ensure appropriate support is in place to enable staff to progress with the transformation such as training including the political environment together with peer networking					ENV MT	31-Aug-2024		
RR_ENV_4	Continue to provide the support to innovate new ideas to contribute to the MTFs and savings agenda (ongoing)					RES AD (VD)	31-Aug-2024		
RR_ENV_5	Ensure appropriate allocation of resources to deliver change projects (ongoing)					RES AD (VD)	31-Aug-2024		

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review due: **February 2024**

Report Date: **12th September 2023 (pw)**

RR_ENV_6	Ensure effective engagement in the NYC arrangements including Chief Executive webinars, Directorate Communication events and wider briefings to staff			ENV MT	31-Aug-2024		
RR_ENV_7	Ensure effective communications in relation to the establishment of a Mayoral Combined Authority			ENV MT	31-Aug-2024		
RR_ENV_8	Continue NY Highways staff engagement events			ENV AD H&T	31-Aug-2024		
Phase 4 - Target Risk Assessment							
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium
Phase 5 - Fallback Plan							
Fallback Plan							
Review approach to the delivery of the Transformation change programmes and cultural change management within ENV							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_5	Title	Capital Programme		Risk Owner	CD ENV	Risk Manager	ENV AD H&T; RES AD (VD)
Risk Description	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.				Risk Group	Financial	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
<p>Project management - regular financial and project planning, monitoring and reporting of the projects; risk assessment for major schemes; project management training for key ENV staff; PIR of major projects; lessons learnt/implemented;</p> <p>Programme management - operational and strategic programme management/monitoring and reporting through NYH, H&T and ENV 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;</p> <p>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;</p>								
Current Probability	M	Current Impact	H	Current Risk Score	12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_EHT_10	Ensure effective delivery of the Transforming Cities Fund (TCF) project in Skipton, Harrogate and Selby working with the WYCA governance arrangements.					ENV AD H&T	31-Jul-2024	
RR_EHT_103	Ongoing management of Kex Gill project progress updates (including discharge of planning conditions) throughout the works via the agreed governance arrangements and use of the central portal.					ENV H&T HoMP&I	30-Nov-2025	
RR_EHT_12	Active involvement in monitoring of NYH performance to ensure processes and procedures are working properly and are fit for purpose					ENV AD H&T; RES AD (VD)	31-Jul-2024	
RR_EHT_13	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					ENV AD H&T	31-Jul-2024	
RR_EHT_14	Capital update meetings to ensure programme on track					ENV H&T HoNS; RES AD (VD)	31-Jul-2024	
RR_EHT_15	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; incl NYH lunch and learn					ENV AD H&T	31-Jul-2024	
RR_EHT_16	Need for LTP capital programme process mapping session, followed later by a LEAN review; has commenced, led by NYH comm servs team					ENV AD H&T	31-Jul-2024	
RR_EHT_17	Regular weekly meetings between H&T, Procurement and NYH teams to ensure NYH programme delivery; now incl WSP and APP					ENV AD H&T	31-Jul-2024	

Risk Register: **Annual review (Aug 2023) – detailed**

Next Review due: **February 2024**

Report Date: **12th September 2023 (pw)**

RR_EHT_18	Ensure effective engagement with Veritau and suitable post audit responses are produced following reviews of different aspects of capital programme	ENV H&T HoNS	31-Jul-2024				
RR_EHT_19	hNY Improvement Action Plan including continuous improvement within the service	ENV H&T HoNS	31-Jul-2024				
RR_EHT_98	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)	ENV AD H&T	31-Jul-2024				
RR_ENV_39	Ensure progress of matters relating to the legal challenge to the use of harbour undertaking revenue such as following directions provided by the court	ENV AD TLPH	31-Mar-2024				
RR_ENV_40	Discuss, agree and implement process for Scarborough replacement cremator (decision by Apr 2024) and extension of cemetery (Scarborough/ Harrogate) (decision by Dec 2023)	ENV AD Reg Svs	30-Apr-2024				
RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects)	ENV TLPH HoH	31-Dec-2023				
Phase 4 - Target Risk Assessment							
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium
Phase 5 - Fallback Plan							
Fallback Plan							
Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_8	Title	Major schemes		Risk Owner	CD ENV	Risk Manager	ENV AD H&T
Risk Description	Failure to deliver the programme of major transport and coastal engineering schemes resulting in impact on the council's growth plan, negative impact on national and regional partner relations, increased coastal erosion and loss of coastal assets.				Risk Group	Strategic	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
Programme in place for delivery of NYC Council promoted schemes; support being provided to the third party scheme promoters; risk analysis for each scheme undertaken; effective engagement with nominated H&T rep(s) and NYC in delivery of SEP funded schemes; necessary local contributions secured for the schemes in the LEP programme that are being delivered (August 2021); detailed list of coastal plans and schemes; shoreline management plan (with discrete coastal strategies for specific areas)								
Current Probability	M	Current Impact	H	Current Risk Score	12	Current Risk Category	Medium High	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_EHT_100	Formation of a LEVI delivery team to meet constrained grant funding delivery timeframes					ENV H&T HoMP&I	30-Sep-2023	
RR_EHT_101	Develop technical solutions to enable grid supply for EVI to rural communities and consider the emerging renewable energy source market where necessary					ENV H&T HoMP&I	31-Jul-2024	
RR_EHT_102	Develop on street EV charging strategy and technical solution					ENV H&T HoMP&I	31-Jul-2025	
RR_EHT_103	Ongoing management of Kex Gill project progress updates (including discharge of planning conditions) throughout the works via the agreed governance arrangements and use of the central portal.					ENV H&T HoMP&I	30-Nov-2025	
RR_EHT_20	Continue to engage with the wider strategic partnership and support them to manage risks associated with specific scheme programmes (ongoing)					CD ENV	31-Jul-2024	
RR_EHT_21	Continue to ensure sufficient resource in H&T to effectively deliver NYC schemes (ongoing)					ENV AD H&T	31-Jul-2024	
RR_EHT_23	Continue to work closely with WSP (and where appropriate, Align Property Partners) to ensure that resources match programme of transport schemes requirements (ongoing)					ENV AD H&T	31-Jul-2024	
RR_EHT_24	Understand pipeline opportunities medium to long term in order to maximise future LG changes in respect of Devolution combined authority status					ENV AD H&T	31-Jul-2024	
RR_EHT_98	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)					ENV AD H&T	31-Jul-2024	
RR_EHT_99	Continue the regional coastal monitoring programme					ENV AD H&T	31-Jul-2024	
RR_ENV_40	Discuss, agree and implement process for Scarborough replacement cremator (decision by Apr 2024) and extension of cemetery (Scarborough/ Harrogate) (decision by Dec 2023)					ENV AD Reg Svs	30-Apr-2024	
RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects)					ENV TLPH HoH	31-Dec-2023	
Phase 4 - Target Risk Assessment								

Risk Register: **Annual review (Aug 2023) – detailed**
 Next Review due: **February 2024**
 Report Date: **12th September 2023 (pw)**

Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium
Phase 5 - Fallback Plan							
Fallback Plan							
Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification								
Ref.	ENV_11	Title	NY Highways		Risk Owner	CD ENV	Risk Manager	ENV AD H&T
Risk Description	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				Risk Group	Contractual	Linked Risk(s)	
Phase 2 - Current Assessment								
Current Control Measures								
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;								
Current Probability	L	Current Impact	H	Current Risk Score	8	Current Risk Category	Medium	
Phase 3 - Risk Mitigation Plan								
Reduction Action						Action Manager	Due Date	Date Completed
RR_EHT_106	Ensure constant drive for efficient working (efficiency, outputs and accountability) to develop the company and reduce costs for NYC and enable NYH to pick up more external work					NYH Comm Mgr	31-Jul-2024	
RR_EHT_25	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; gap analysis undertaken and working to strengthen procurement processes					NYH Comm Mgr	31-Jul-2024	
RR_EHT_26	Ensure H&S continues to be managed 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 NYC training and learning; H&S reported through governance structure; area H&S meetings					ENV AD H&T	31-Jul-2024	
RR_EHT_27	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; complete, now looking at restructuring to ensure contract continues to meet needs					NYH Comm Mgr	31-Jul-2024	
RR_EHT_28	Ensure monitoring and reporting arrangements are in line with agreed governance arrangements, to include close budget monitoring and adjustment where necessary; budget and performance monitored monthly by SMT and through to board					CD ENV	31-Jul-2024	
RR_EHT_29	Put support service arrangements in place between NYC 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; annual review of SLAs against need is carried out					NYH Comm Mgr	31-Jul-2024	
RR_EHT_30	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	31-Jul-2024	
RR_EHT_31	Review financial position to ensure that true NYH costs are known and reported on; quarterly report going to board; working on improvements to finance system (WAP) being rolled out Oct 23					NYH Comm Mgr	31-Jul-2024	
RR_EHT_32	Trialling new ways of working and analysing outcomes swiftly to ensure that impact is known and acted upon; ongoing and is providing efficiencies.					NYH Comm Mgr	31-Jul-2024	

Risk Register: **Annual review (Aug 2023) – detailed**
 Next Review due: **February 2024**
 Report Date: **12th September 2023 (pw)**

Phase 4 - Target Risk Assessment							
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium
Phase 5 - Fallback Plan							
Fallback Plan							
Focus on under-performing areas with agreed remedial actions, if continued issues then options appraisal for service delivery							

Risk Register: Annual review (Aug 2023) – detailed

Next Review due: February 2024

Report Date: 12th September 2023 (pw)

Phase 1 - Identification									
Ref.	ENV_9	Title	Major Incident and Business Continuity			Risk Owner	CD ENV	Risk Manager	ENV MT
Risk 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	Business Continuity	Linked Risk(s)	
Phase 2 - Current Assessment									
Current Control Measures									
Leadership of ENV 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; ENV 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;									
Current Probability	L	Current Impact	H	Current Risk Score	8	Current Risk Category	Medium		
Phase 3 - Risk Mitigation Plan									
Reduction Action						Action Manager	Due Date	Date Completed	
RR_ENV_20	Ensure that resources are flexible enough to manage unexpected major and business continuity incidents (ongoing)					ENV MT	31-Aug-2024		
RR_ENV_21	Continually review procedures, plans and training in relation to major incidents (ongoing)					ENV MT	31-Aug-2024		
RR_ENV_22	Annual live or desk top exercises to test plans, and including the incident and response and continuity plan with NY Highways (ongoing)					ENV MT	31-Aug-2024		
RR_ENV_23	Ensure sufficient capacity is present to be able to manage a major incident					ENV MT	31-Aug-2024		
RR_ENV_24	Consider recent significant natural events relative to the impact of climate change and plan accordingly					ENV MT	31-Aug-2024		
Phase 4 - Target Risk Assessment									
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium		
Phase 5 - Fallback Plan									
Fallback Plan									
Review the plans, media management, advise Members									