

North Yorkshire Council

Audit Committee

23 September 2024

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 level of inflation in the UK impacting 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 and currently are significantly lower than expected.
 - 3.1.1 In addition, the focus of the Directorate has also necessarily been on post Local Government Reorganisation work including progressing service area restructures across the Directorate, facilitating the convergence of tasks and services previous delivered in many different ways and also establishing strong governance processes across the directorate for key areas of delivery including the capital programme and transformation agenda. At the same time, the Environment Directorate is looking forward towards how services need to transform into the future and the delivery of transformation savings to support the overall North Yorkshire Council financial position. More details are included in section 3.11 below.
- 3.2 **Highways & Transportation**

Through the winter period the highways service successfully dealt with over 10 named storms and the impacts that they have caused. We have seen some accelerated deterioration on the network as a result which has resulted in increased demands on the service in terms of reactive road repairs and gully emptying. In addition to dealing with these challenges the team is also focussing on developing and delivering a transformation plan that gets the best out of the move to a new unitary council which sees street scene,

parcs and grounds and highways activities now being delivered by one organisation. Key achievements to date being the implementation of increased parking tariffs across all of the former district and borough council car parks and the successful delivery of staff restructures in parks and grounds and parking services.

- 3.2.1 The highways service continues to give support to North Yorkshire Highways (NYH), as the front-line delivery agency. We are delivering efficiency savings in our revenue activities that contribute to the Transformation Plan savings through the use of innovative pothole repair techniques and we are making good progress against the delivery of our capital programme. We are progressing a number of major schemes such as A59 Kex Gill and Harrogate, Skipton and Selby Transforming Cities Fund schemes and we are aiming to appoint an EV Charge Point Operator later this financial year to commence implementation of the council's EV charging strategy using funding from the Local Electric Vehicle Charging Infrastructure fund.

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. North Yorkshire Council continues to harmonise the waste service. To date the Council has addressed different practices and fees and charges across the garden and bulky waste services, so that now a single approach makes it easier and more convenient for residents to access collections. The next service area being examined is the kerbside collection of dry recycling and refuse. Following extensive work to model the existing different practices and an assessment of the options to unify collection methods, the Council is consulting residents through a public consultation exercise. 'Let's talk rubbish' seeks residents views on their current service and their opinions on the Council's preferred idea. The results will be analysed with a view to seeking an Executive decision in November to enable the Council to begin a progressive rollout programme.
- 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. Waste management legislation is undergoing a period of significant change which will affect how both Yorwaste and the Council undertake trade and domestic collections with further information from Government expected shortly.
- 3.3.2 A staff engagement exercise for Waste Operations and Street Scene teams is underway to seek agreement on; a new working week, start and finish time and the removal of task and finish. There will also be a significant change for teams across all localities and with that comes the potential for service disruption, a large amount of effort is going into minimising this as we seek to harmonise service delivery.

Environment & Climate Change

- 3.4 The Climate Change Delivery Pathway was reported to North Yorkshire Council Executive on 20 August 2024 which provides an update on how the council is progressing towards its net zero ambitions. This report includes the early draft of the Directorate climate action plans which seek to address the council's operational emissions and also describes how the council is supporting regional targets working with the newly established York and North Yorkshire Combined Authority.

Integrated Passenger Transport (IPT)

- 3.5 In the public passenger transport sector, passenger numbers are slowly increasing and much of the last 12 months has been about maintaining existing services across both the supported and commercial bus network. The DfT have provided an additional £3.4m in BSIP3 grant funding for 24/25 which was offered subject to NYC refreshing and submitting to them our revised BSIP document. The areas of spend for project delivery, fall into the following categories - Bus Service Support, Fares Support, Marketing, EP Delivery: LTA Costs, Other Infrastructure, Ticketing Reform and Demand Responsive Transport.
- 3.5.1 In the Home to School transport sector, we continue to see challenges in the commercial market as there are still industry concerns over driver availability, increased costs in relation to staff pay, fuel, parts, and maintenance. However, we are seeing several new taxi providers come forward in the market and hope that we will continue to see competition increased in some areas of the county. Much work is being undertaken jointly across CYPS and IPT in relation to transformation projects including, work on policy and reviewing areas for savings opportunities in the existing transport provision.

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 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 implemented a new consolidated taxi licensing policy on 1 April 2023. This policy is now under full review and a draft Inclusive Service Plan is being developed alongside to increase the provision of wheelchair accessible vehicles and to ensure that taxi provision is accessible to all. It is currently anticipated that a three month consultation on both will begin in Autumn 2024.
- 3.8.1 The Licensing Act 2003 and Gambling 2005 policies will also be reviewed, harmonised and implemented for 1 April 2025.
- 3.8.2 The restructure of the Licensing Team, bringing seven former district teams together, was completed in February 2024. To fully implement the new structure it will be necessary to harmonise the Licensing operating software across the County, bringing seven former systems into one. Work is ongoing with Regulatory Services, Trading Standards and Housing Enforcement colleagues to implement one solution for all services.

Regulatory Services

- 3.9.1 The Regulatory Services teams have been fully restructured during 23/24 and new teams have been established to cover the range of Environmental Health and Trading Standards services related to Environmental Protection and Farming Food and Health. In addition the Trading Standards team have taken on management of the Safety Advisory Group (SAG) and the wider service has also brought teams together to deliver the Pest Control and Environmental Enforcement services. A business-as-usual service was delivered throughout that period of time and recruitment to the new teams is currently underway. The restructure will put us in a stronger position to deliver all of the reactive investigatory work relating to noise nuisance, and consumer complaints 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

- 3.10.1 The Registrars and bereavement service have continued to deliver their statutory functions as well as delivering wedding ceremonies across North Yorkshire. The Bereavement Service have undergone a restructure and cross service discussions are taking place with Parks and Grounds to ensure that we have an efficient maintenance regime in place to manage the Council's cemeteries.
- 3.10.2 The support service to the Coroner has been improved through a secondment with North Yorkshire Police whereby the Senior Coroner's Officer is now based at NYC. This is the first stage in evaluating whether NYC could oversee the entire Coroner's support service including the North Yorkshire Police function. This takes into account the directions from the Chief Coroner about developing closer and more effective 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.

Post Local Government Reorganisation (LGR)

- 3.11 Capacity and prioritisation continue to be significant issues in the Directorate, particularly in light of the challenges presented post 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 bringing services from the previous county, district and borough councils together to work in a cohesive way, working through the harmonisation and transformation of services.
- 3.11.1 Throughout the year, 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 is now in year 4 of operation and processes and procedures are now well established. Governance and internal control processes have been updated and refined 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 the wider transformation and efficiency plans of NYC, of which NYH plays a part. 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 management team hold regular engagement sessions across North Yorkshire and the operational team. Employees are provided with an update on their specific area performance and an overview of the business objectives for that year. Any requests made by the operational teams are logged and fed back in “what you said and what we did” communications. In additional annual staff surveys provide additional feedback. Training and development is being proactively managed each year. This ensures NYH has a competent and engaged workforce.
- 3.12.4 Support services provided by NYC for finance, procurement, IT, Human Resources, Health and Safety and many other services ensures a consistency of approach between NYC and NYH but also recognises there are differences between the organisations and not every process and procedure can be mirrored. The relationship between the Council, Highway Maintenance team and NYH is structured with clear responsibilities and reporting to ensure both parties are contributing to the successful delivery of the highways budget. Strict controls and processes for design, procurement and delivery ensure that blockages to progress are identified early and mitigation measures can be implemented. The business obtained third party certification to ISO 9000, 14000, 45000 for their quality, environmental and health and safety systems in the third quarter of 23/24. This provides the business and the Council with the confidence that operational controls are consistent and compliant with internationally recognised standards. It also allows services to be marketed to the commercial sector.
- 3.12.5 Working relationships between other Brierley group companies and the synergies envisioned by Brierley group board and the Council are developing and coming to fruition. APS and NYH have partnered on number of projects to deliver highway improvements to Selby town centre and also the new Special Educational Needs School in Osgoodby. NYH carries out infrastructure installation works for NYNET and uses Yorwaste for waste disposal works. NYES provide services for CCTV and IT and Veritau provides audit and support services.

Capital Programme

- 3.13 Whilst this is identified separately within the Directorate Risk Register there are key items of note:
- 3.13.1 Projects continue to be carefully monitored to assess the potential for inflation and other pressures in the construction market that may impact on the delivery of the Capital Programme although construction cost inflation is not as significant a risk as it was last year.
- 3.13.2 In line with the Corporate Capital Governance process which has been developed following LGR, the Highways and Infrastructure Capital Board has been established to oversee and provide governance and challenge to capital projects within the Highways and Infrastructure areas. This Board has now been running for almost a year with the

governance processes now embedded within the Directorate. Environment Directorate Services which are not covered by the remit of this Capital Board, such as fleet, bereavement and depots are reported through the equivalent Board for Corporate and other Projects to ensure all capital projects are subject to robust governance arrangements. These Capital Boards then report issues up to the Corporate Capital Programme Board to ensure corporate oversight of key risks and challenge.

3.13.3 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 Highways and Infrastructure Capital Board monitor this practice on a monthly basis taking intervention decisions 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 -	High (treat)	Constant monitoring, action plan required and escalation to next level for consideration / inclusion.
	20 -	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 since it was presented to this Committee and was last reviewed in August 2024 and represents the risks of the 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 2023 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
- No risks have deleted from the register since the last review.
- 4.6.2 New risks
- Whilst no risks have been added to the Directorate level register since the last review, new service level risks around Bridges, Play Areas, Tree Management and Parking were considered as part of the directorate review. At this stage it is considered appropriate that they continue to be monitored and managed on their respective service level registers.
- 4.6.3 Key changes to risks
- Climate Change – this risk remains very high, new actions have been added around creating a carbon credit / offsetting strategy, working with the MCA on regional matters, and flood risk management.
 - Capital Programme and Major Schemes – both these risks have increased in ranking to reflect the technical and financial challenges in delivering the Kex Gill and Transforming Cities Fund work with Major Schemes now considered the highest risk for the Directorate. Risk mitigating actions relating to harbour infrastructure schemes have also been added.
 - Passenger Transport Market Resilience – This risk remains high. New reduction actions have been added relating to the work required with MCA around the future delivery of Public Transport and in supporting the delivery of the revised Home To School Transport Policy.

5.0 Recommendations

- 5.1 That the Committee:
- i) Note the Directorate update salient points; and
 - ii) Note the Directorate Risk Register for the Environment Directorate; and
 - iii) Provide feedback and comments on the Directorate Risk Register and any other related internal control issues.

KARL BATTERSBY
Corporate Director – Environment
September 2024

Report prepared by Vicki Dixon

Risk Register: **Annual review (Aug 2024) – summary**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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_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	VH	VH	25	Very High	M	H	12	Medium High	✓
▬	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 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 resulting in 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_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)	H	H	16	High	M	H	12	Medium High	✓

Risk Register: **Annual review (Aug 2024) – summary**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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_7 Brierley Homes Ltd	Failure to maintain or increase business development and maintain a steady pipeline of building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL compete effectively in an open market.	CD ENV	BHL Ops Mgr	H	M	12	Medium High	M	M	9	Medium	
	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_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 for 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 Trend Key	
Symbol	Meaning
	Risk ranking has worsened since the last review.
	Risk ranking is the same as at last review.
	Risk ranking has improved since the last review.
new	Risk is new or has been significantly altered since the last review.

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**


Report Date: **9th September 2024 (cpc)**

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)	EHT_5; ERG_12; ETR_7
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); LEVI delivery team in place								
Current Probability	VH	Current Impact	VH	Current Risk Score	25	Current Risk Category	Very High	
Phase 3 - Risk Mitigation Plan								
Reduction Action					Action Manager	Due Date and status	Date Completed	
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-Jan-2025		
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 the Kex Gill project in live delivery and maintain progress on site dealing with technical and financial challenges, progress updates to be provided throughout the works via the agreed governance arrangements and use of the central portal				ENV H&T HoMP&I	30-Apr-2026		
RR_EHT_108	Continue to monitor and manage risks around harbours, including implementation of the approved list of harbour infrastructure projects				ENV H&T E&CPMgr	31-Jul-2025		
RR_EHT_111	Carry out open market tender for provision of LEVI				ENV H&T HoMP&I	30-Nov-2024		
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-2025		
RR_EHT_21	Continue to ensure sufficient resource in H&T to effectively deliver NYC schemes (ongoing)				ENV AD H&T	31-Jul-2025		
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-2025		
RR_EHT_24	Understand pipeline opportunities medium to long term in order to maximise LG changes in respect of Devolution and combined authority status				ENV AD H&T	31-Jul-2025		
RR_EHT_98	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)				ENV H&T E&CPMgr	31-Jul-2025		
RR_EHT_99	Continue the regional coastal monitoring programme				ENV H&T E&CPMgr	31-Jul-2025		
RR_ENV_40	Discuss, agree and implement process for Scarborough replacement cremator (decision by end of Sep 2024) and extension of cemetery (Scarborough/ Harrogate) (by Jan 2025)				ENV AD Reg Svs	31-Jan-2025		

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects)			ENV TLPH HOH	31-Jul-2025		
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							
Work with partners on collaborative approach to ensure risk is captured at an early stage and responsibilities are understood							

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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)	CRR_12; ECC_5
Phase 2 - Current Assessment								
Current Control Measures								
Leadership commitment; Executive member with portfolio responsibilities; Climate Change Champion post; 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; NYC Climate Change Strategy adopted Jul 23; Climate Change Delivery Pathway approved by Exec Aug 24								
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 and status	Date Completed	
RR_ECC_16	Continue utilisation of £1m pump-priming fund established in MTFS to support implementation of NYC Climate Change Strategy				ENV AD ES&CC	31-Jul-2025		
RR_ECC_17	Ongoing review of the effectiveness of the climate change impact assessment tool to reflect new climate change strategy and ensure that it is efficient in enabling decision makers to better understand the impact of the decisions that they are being asked to make, alternative governance opportunities are also being explored to better strengthen climate change impact on decision making				ENV AD ES&CC	31-Jul-2025		
RR_ECC_18	Work through the detailed property related considerations; proposals to be developed through the property service once fully restructured including a property decarbonisation plan. Climate change business partner appointed to Resources Directorate will assist with this				ENV AD ES&CC; RES CP&P HoPC&FM	31-Jul-2025		
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-Jul-2025		
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		
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, supported through the climate change business partners				ENV AD ES&CC	31-Jul-2025		
RR_ECC_33	Work to ensure that the Council's Local Plan and Local Transport Plan include appropriate responses to climate change, officers continue to be involved in the relevant service teams				ENV AD ES&CC	31-Jul-2025		
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, funding secured from DESNZ to develop a strategic energy partnership (green finance model) in support of this (linked to RR_ECC_18)				ENV AD ES&CC	31-Jul-2025		

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

RR_ECC_35	Measure and report on our emissions and plan how and when we will hit our target using a nationally recognised formula to calculate carbon emissions from delivering the services which are under our direct control. Ongoing work to quantify our carbon footprint and utilise available/limited data sources. Undertaking work to submit to the external carbon reporting framework (CDP) in addition to climate emergency scorecards. Working with Strategy and Policy colleagues to incorporate climate change reporting into future Q reports	ENV AD ES&CC	31-Jul-2025		
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; Directorate action plans developed in collaboration with each directorate, ongoing work to support the delivery of this through climate change business partners	ENV AD ES&CC	31-Jul-2025		
RR_ECC_49	Create a NY Council carbon credit / offsetting strategy linked to our defined carbon footprint and trajectory which helps identify options for utilising carbon credits or offsetting future carbon emissions	ENV AD ES&CC	31-Jul-2025		
RR_ECC_50	Continue to work and strengthen our relationship with the MCA on the York and North Yorkshire Routemap to Carbon Negative, regional decarbonisation projects and future opportunities for net zero funding.	ENV AD ES&CC	31-Jul-2025		
RR_ENV_42	Agree and deliver an annual programme of flood risk management schemes	ENV AD H&T	31-Jul-2025		
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 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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 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; support if required; financial checks on key suppliers; Transport board to ensure directorate awareness of issues; use of market intelligence and increased commerciality to monitor and resolve contractor issues; Annual review of operator processes and procedures as part of compliance team visits; liaison meetings with key contractors regarding viability and commerciality when necessary								
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 and status		Date Completed
RR_ENV_43	Public Transport: s101 agreement in place, we will develop an MoU between NYC, MCA and CoY and then work with all parties to agree responsibility for, and approach to, public transport for future years				ENV TLPH HoTS	31-Mar-2025		
RR_ENV_44	Support the delivery of the new HTS transport policy changes and other transformation projects including review of solo travellers, unsafe walking routes, driver and PA training and HTS transport application process; the expected savings from this begin from Sep 2025				ENV TLPH HoTS	30-Sep-2025		
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); plans updated in line with new corporate process (2024)				ENV TLPH HoTS	31-Jul-2025		
RR_ETR_52	Maximise funding opportunities through Bus Service Improvement Plan (BSIP) and working with the Mayoral Combined Authority (MCA)				ENV TLPH HoTS	31-Dec-2024		
RR_ETR_53	Implement a Dynamic Procurement System to provide a quick and compliant route to securing contracts				ENV TLPH HoTS	30-Apr-2025		
RR_ETR_7	Continue to administer DFT local transport fund grants				ENV TLPH HoTS	31-Mar-2025		
RR_ETR_8	Transport board to ensure directorate awareness of issues				ENV TLPH HoTS	30-Jun-2025		
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 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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 inspecs; 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, 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;								
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 and status	Date Completed	
RR_ENV_12	Work with H&S to harmonise the risk assessments and safe systems of work across the services; Corporate Health and Safety policy reviewed in March 2024; H&S software system including accident/incident investigation (bsafe) in place and SharePoint site being developed for risk assessments				CD ENV	31-Aug-2025		
RR_ENV_13	Review/monitor the H&S arrangements of Contractors and Partner organisations (ongoing)				ENV MT	31-Aug-2025		
RR_ENV_14	Monitor all service plans and risk registers and ensure they are checked on a regular basis (ongoing)				ENV MT	31-Aug-2025		
RR_ENV_15	Review incidents and claims statistics including large losses and develop action plans (ongoing)				ENV MT	31-Aug-2025		
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-2025		
RR_ENV_17	Continue to implement awareness raising campaign for information governance (ongoing)				ENV MT	31-Aug-2025		
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 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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 resulting in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP				Risk Group	Strategic	Linked Risk(s)	ECC_2; ECC_3
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 and status	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 HoW(Cont)	31-Jul-2025		
RR_ECC_2	Develop proposals for consistent recycling including impact of resource and waste strategy on existing collections services as required by the new legislation; current focus is on harmonisation of dry recycling across the county				ENV ES&CC HoW(Cont)	31-Dec-2024		
RR_ECC_23	Consider implications of the new Emission trading scheme as it applies to AWRP; consultations ongoing linked to ECC_3				ENV ES&CC HoW(Cont)	31-Jul-2025		
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 HoW(Cont)	31-Jul-2025		
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; public engagement to take place				ENV ES&CC HoW(Cont); ENV ES&CC HoWO&SS	31-Dec-2024		
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; consultants currently assessing options for AWRP Net Zero				ENV ES&CC CMW	31-Jul-2025		
RR_ECC_8	Continue to monitor Thalia'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-2025		
RR_ENV_37	Ensure existing outsourced waste services in Selby are effectively brought in house				ENV AD ES&CC	31-Mar-2024	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 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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)	EHT_4; ETR_7
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; 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; regular Capital Update Group meetings in place supporting Capital Board; 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; effective engagement with Veritau; implementation of forward programme of planned maintenance, three year rolling delivery programme in place; 360 degree visibility and regular constructive challenge of processes across NYC/NYH/APS</p>								
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 and status	Date Completed	
RR_EHT_10	Ensure effective delivery of the Transforming Cities Fund (TCF) project in Skipton, Harrogate and Selby working with the MCAs on governance arrangements and ATP				ENV AD H&T	30-Nov-2024		
RR_EHT_103	Ongoing management of the Kex Gill project in live delivery and maintain progress on site dealing with technical and financial challenges, progress updates to be provided throughout the works via the agreed governance arrangements and use of the central portal				ENV H&T HoMP&I	30-Apr-2026		
RR_EHT_108	Continue to monitor and manage risks around harbours, including implementation of the approved list of harbour infrastructure projects				ENV H&T E&CPMgr	31-Jul-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-2025		
RR_EHT_129	Creation of capital works efficiency indicators monitored by SMG on scheme estimate and final outturn cost, design on time, procurement on time, comparison against NSoR, on site on time, scheme duration, delivery on time				ENV H&T HoNS	31-Jul-2025		
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-2025		
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-2025		

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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-2025		
RR_EHT_98	Implement this year's Environment Agency approved coastal programme (permission to apply for grant going for Exec approval)	ENV H&T E&CPMgr	31-Jul-2025		
RR_ENV_39	Continue to progress matters relating to the legal challenge to the use of harbour undertaking revenue such as following directions provided by the court; hearing has taken place (4th March 2024) and we now await the judgment and any orders we need to comply with, this may include reallocation of funds	ENV AD TLPH	31-Dec-2024		
RR_ENV_40	Discuss, agree and implement process for Scarborough replacement cremator (decision by end of Sep 2024) and extension of cemetery (Scarborough/ Harrogate) (by Jan 2025)	ENV AD Reg Svs	31-Jan-2025		
RR_ETR_41	Develop long term strategy for harbours (includes infrastructure and economic aspects)	ENV TLPH HoH	31-Jul-2025		
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					
Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board					

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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 of building quality homes in sufficient numbers through an appropriate delivery model resulting in inability for BHL compete effectively in an open market.				Risk Group	Commercial	Linked Risk(s)	BHL_9
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 NYC; direct supply chain of sub contractors to deliver chosen delivery route in place; business plan developed; contracting model options are assessed for each site								
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 and status	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-Dec-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-Dec-2024		
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-Dec-2024		
RR_ENV_31	Continue to evaluate market values and influences for land acquisition				BHL Ops Mgr	31-Dec-2024		
RR_ENV_32	Ensure compliance with statutory requirements including H&S, Finance, insurance, HR				BHL Ops Mgr	31-Dec-2024		
RR_ENV_33	Continue to evaluate housing market conditions of demand and supply and residual sales values (ongoing)				BHL Ops Mgr	31-Dec-2024		
RR_ENV_34	Continue to monitor the economic climate when considering business cases				BHL Ops Mgr	31-Dec-2024		
Phase 4 - Target Risk Assessment								
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 2024) – detailed**

Next Review due: **February 2025**


Report Date: **9th September 2024 (cpc)**

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 and status	Date Completed	
RR_ENV_1	Continue communication/engagement arrangements with staff on Transformation and Savings Programme (ongoing)					ENV MT	31-Aug-2025		
RR_ENV_2	Continue to monitor impacts and savings arising from the Transformation Programme (ongoing)					ENV MT	31-Aug-2025		
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-2025		
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-Aug-2025		
RR_ENV_36	Continue to ensure appropriate support is in place to enable staff to contribute to transformation and savings such as training, encouragement of innovation and use of peer networking					ENV MT; RES AD (VD)	31-Aug-2025		
RR_ENV_45	Ensure delivery of the existing agreed savings and establish and deliver the additional savings required by Transformation 2					ENV MT; RES AD (VD)	28-Feb-2025		
RR_ENV_5	Ensure appropriate allocation of resources to deliver change projects (ongoing)					RES AD (VD)	31-Aug-2025		
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-2025		
RR_ENV_7	Ensure effective communications and joint approach to delivery in relation to the embedding of the Mayoral Combined Authority					ENV MT	31-Aug-2025		

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

RR_ENV_8	Continue NY Highways and Waste staff engagement events			ENV AD H&T	31-Aug- 2025		
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 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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)	EHT_6
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; ISO accreditation; budget and performance monitored monthly by SMT and through to board; annual review of SLAs against need carried out								
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 and status		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; includes reporting via capital dashboard				NYH Comm Mgr	31-Jul-2025		
RR_EHT_124	Introducing a schemes status checklist, to assist with all aspects of scheme delivery; this has enabled early progress on future year's programs				NYH Comm Mgr	31-Jul-2025		
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; introducing Dynamic Purchasing System (DPS) which will give greater flexibility to market whilst maintaining compliance; use of Forward Procurement Plan				NYH Comm Mgr	31-Jul-2025		
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-2025		
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, will continue to review structure against workload				NYH Comm Mgr	31-Jul-2025		
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; completion of dashboards is the next target				NYH Comm Mgr	31-Oct-2024		
RR_EHT_31	Ensure that finance system (WAP) allows true NYH costs to be known and reported on via quarterly report going to board				NYH Comm Mgr	31-Jul-2025		
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; continues and looking to take on additional types of work to increase capability and capacity				NYH Comm Mgr	31-Jul-2025		
Phase 4 - Target Risk Assessment								
Target Probability	L	Target Impact	H	Target Risk Score	8	Target Risk Category	Medium	

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

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 2024) – detailed**

Next Review due: **February 2025**





Report Date: **9th September 2024 (cpc)**

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 for 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; NYC 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 and status	Date Completed	
RR_ENV_20	Ensure that resources are flexible enough to manage unexpected major and business continuity incidents (ongoing)					ENV MT	31-Aug-2025		
RR_ENV_21	Continually review procedures, plans and training in relation to major incidents (ongoing)					ENV MT	31-Aug-2025		
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-2025		
RR_ENV_23	Ensure sufficient capacity is present to be able to manage a major incident; working with RET including establishment of forward liaison officers					ENV MT	31-Aug-2025		
RR_ENV_24	Consider recent significant natural events relative to the impact of climate change and plan accordingly					ENV MT	31-Aug-2025		
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									

Risk Register: **Annual review (Aug 2024) – detailed**

Next Review due: **February 2025**

Report Date: **9th September 2024 (cpc)**

Risk Reduction Action Status Key	
Symbol	Meaning
	The risk reduction action is overdue for completion or review.
	The risk reduction action is approaching its expected completion or review date.
	The risk reduction action is on target.
	The risk reduction action has been completed.