

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

Next Review due: **February 2020**

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

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

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Phase 1 - Identification											
Risk Number	7/24	Risk Title	7/24 - Capital Programme				Risk Owner	CD BES	Manager	CSD AD SR (ML)	
Description	Ineffective management of capital programme including major schemes, LEP, LTP, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.					Risk Group	Financial	Risk Type	H&T 9/195		
Phase 2 - Current Assessment											
Current Control Measures		Project managers/sponsors for each project; regular financial and programme and project monitoring and reporting of the programmes; operational and strategic management/monitoring, project planning; Gateway training carried out; Capital Projects Board in operation; sub group of Capital Projects Board in place when required, risk assessment carried out in Capital Plan reports feed into MTFs; Finance Officer support to Capital; risk register for major schemes and schemes in the capital works programme; project board for major schemes; Infrastructure Delivery Working Group; Development Management Working Group; appropriate actions and contingencies dependent on risks established and reported to BESMT on a regular basis; risk assessment for major schemes; additional and effective highways capital programme resource / manager to drive delivery of the programme implemented; Specific and ongoing training in financial and project management for key BES staff; PIR of major projects; Schemes portal, assurance framework for LEP in place, contract management health measurement and reporting in place; 3 year rolling works programme with realistic targets and alignment of internal and external delivery resources; assurance framework for LEP in place; Improved strategic capital programme monitoring with reporting through hNY tripartite arrangement and H&T service management/reporting structures; specific monitoring of separately funded capital works, eg Pothole Action Fund, LGF and GWB funded works; substantial assurance audit report; LEAN review of Capital Programme completed; timely reports to Capital Projects Board and Exec members covering key service and financial risk items; introduction of efficiency measures for capital projects and programmes where relevant;									
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
						Action Manager	Action by	Completed			
Reduction	9/352 - Continue project management and gateway approach for relevant capital schemes; gateway aspect now managed centrally					BES AD H&T	Fri-31-Jul-20				
Reduction	9/353 - Establish appropriate actions and contingencies dependent upon risks including recommendations from LEAN review					BES AD H&T	Fri-31-Jul-20				
Reduction	9/354 - PIR of major projects and lessons learnt/implemented					BES AD H&T	Fri-31-Jul-20				
Reduction	9/355 - Ensure appropriate level of resources is allocated in line with budget expectations					BES AD H&T	Fri-31-Jul-20				
Reduction	9/472 - Ensure effective engagement with Veritau and production of a suitable post audit response.					BES H&T HoNS	Fri-31-Jul-20				
Reduction	9/551 - hNY Improvement Action Plan: End to end External Review of the Capital Programme; review of the Capital Programme is on-going to date a Highway Maintenance Investment Tool has been approved; Scheme identification element of the review will be in place for Capital Works Programme schemes for 2020/21; external review was completed in Nov 2018, the 20/21 capital works programme was developed using HMIT					BES H&T HoNS	Fri-31-Jul-20				
Reduction	11/182 - Continue to assess current capabilities and put in place any requirements necessary to enable effective delivery of capital projects (ongoing)					CSD AD SR (ML)	Tue-31-Mar-20				

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Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	H	Services	M	Reputation	M	Category	3
Phase 5 - Fallback Plan											
										Action Manager	
Fallback Plan	7/72 - Review of all resources and procedures; media management; member engagement; intervention by Capital Projects Board									CD BES	

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Phase 1 - Identification											
Risk Number	7/175	Risk Title	7/175 - Delivering Change Programmes within BES				Risk Owner	CD BES	Manager	BES MT	
Description	Failure to embed a strong change culture, processes and supporting capacity to deliver ongoing programmes of change in BES e.g. the BES Beyond 2020 Change Programme. This could result in adverse impact on service delivery, inability to fully meet current and future financial requirements, internal and external criticism.					Risk Group	Change Mgt	Risk Type			
Phase 2 - Current Assessment											
Current Control Measures			CD BES Staff Updates; reps on 2020NY workstreams; key messages; cascade of 2020NY vision and approach; monitoring of impacts on performance; monitoring of impacts on savings target; 2020 North Yorkshire plans submitted; Savings programme developed; political agreement and acknowledgement of risks; Performance Management framework development; BES Transformation Steering Group; Performance Management Review in BES; BES MT engagement on budget and 2020NY approach; Transformation and VFM; 4 year programme; ICT Strategy; staff survey outcomes partly implemented; Programme transformational rather than savings focussed; ideas generation and review process established; new programme of changes identified and agreed;								
Probability	L	Objectives	H	Financial	H	Services	H	Reputation	M	Category	3
Phase 3 - Risk Reduction Actions											
							Action Manager	Action by	Completed		
Reduction	7/93 - Continue communication/engagement arrangements with staff on 2020 North Yorkshire programme (ongoing)					BES MT	Wed-30-Sep-20				
Reduction	7/260 - Continue to monitor impacts of BES 2020 Programme (ongoing)					BES MT	Wed-30-Sep-20				
Reduction	7/265 - Promote and embed cultural change (including Modern Council) through key messages, KITs, manager and non-manager objectives, regular reporting on progress of change projects and impacts of daily operations on delivery of aims (ongoing)					BES MT	Wed-30-Sep-20				
Reduction	7/450 - Continue to provide the support to innovate new ideas to cover the shortfall in expected savings in line with the budget report, and the anticipated MTFS gap (ongoing)					CSD AD SR (ML)	Wed-30-Sep-20				
Reduction	7/451 - Ensure appropriate allocation of resources to deliver change projects (ongoing)					CSD AD SR (ML)	Wed-30-Sep-20				
Reduction	7/568 - Ensure that the emergence of Beyond 2020 is taken into account					BES MT	Tue-31-Mar-20				
Reduction	7/1504 - Continue with implementation of the action plan developed following the staff survey (ongoing)					BES MT	Wed-30-Sep-20				
Reduction	7/1962 - Continually challenge process and procedure for 2020 to ensure relevant bureaucracy and impact on service delivery is constrained (ongoing)					BES MT	Wed-30-Sep-20				
Reduction	7/1967 - Integrate the BEST process into service planning					CSD AD SR (ML) CSD SR HoS&P	Sun-31-Mar-19	Sun-31-Mar-19			
Phase 4 - Post Risk Reduction Assessment											
Probability	L	Objectives	M	Financial	M	Services	M	Reputation	L	Category	5

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

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Change	Risk Title	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FBPlan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
◀	7/174 - Opportunities for Devolution in North Yorkshire and Consideration of a Combined Authority	Failure to take advantage of Devolution opportunities in North Yorkshire resulting in reduced investment and impact on the growth and jobs across North Yorkshire.	CD BES	CD BES	H	H	H	M	H	1	7	31/03/2020	M	L	M	L	M	4	Y	CD BES
◀	7/173 - Minerals and Waste Joint Plan	Failure to complete the examination process and then adopt the Minerals and Waste Joint Plan by the end of March 2020 as the basis for development control decision-making resulting in risk of legal challenge through judicial review, appeals with resulting financial and workload implications, adverse implications for the local economy, risk of National Government passing on European fines	CD BES	BES AD GP&TS	M	M	M	M	H	2	4	31/03/2020	L	M	M	M	H	3	Y	BES AD GP&TS
◀	7/189 - Delivery of transport schemes within the LEP's Strategic Economic Plan	Failure to deliver the programme of transport schemes within the LEP's Strategic Economic Plan results in reputational damage to the County Council and impacts upon the potential to secure funding for transport schemes in future rounds of the Local Growth Fund. There is a direct role for H&T to deliver the schemes promoted by the County Council and support the LEP in the Transport role, but also a supporting role to assist third party scheme promoters specifically the district councils.	CD BES	BES AD H&T	M	M	H	L	H	2	5	31/03/2020	L	M	H	L	H	3	Y	CD BES
◀	7/18 - Long Term Waste Service Strategy	Failure to further develop the long term waste service strategy (including total system efficiency, realisation of commercial opportunities through increasing recycling, reducing residual household waste, maximising potential through flexibility and reconfiguration to take advantage of opportunities through changes in market conditions, changes in waste composition and changes in consumer behaviour) following delivery of AWRP results in lost efficiencies, inflexibility, reputational damage, poor value for money and ineffectiveness of AWRP	CD BES	BES AD TW&CS	M	L	H	L	H	2	7	31/12/2019	L	L	H	L	M	3	Y	CD BES
- new -	7/247 - Highways Teckal	Failure to have arrangements for Highways Maintenance Services in place by end of current contracts (April 2021) resulting in service disruption, increased costs and criticism Risk Owner/Manager/Group all the same as this risk	CD BES	BES AD H&T	M	H	H	H	H	2	6	31/12/2019	L	H	H	H	H	3	Y	BES H&T HoCS

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◀	7/232 - Growth	Failure to deliver the ambition of Sustainable Economic Growth through the delivery of the right housing, transport, and connectivity infrastructure, whilst protecting the outstanding environment and heritage, and within the context and partnership arrangements of two-tier local government structure and wider macro-economic policy and processes. This results in an inability to attract, retain and grow businesses, increase the house building rate, raise living standards and increase spending power.	CD BES	CSD AD SR (ML) BES AD GP&TS	M	H	H	H	M	2	7	31/10/2019	L	H	H	H	L	3	Y	BES AD GP&TS
◀	7/244 - Cycling Events in North Yorkshire	Failure to effectively deliver the County Council's responsibilities associated with hosting the Tour de Yorkshire and UCI World Championship in North Yorkshire in 2019 &/or significant adverse publicity around hosting these events resulting in potential reputational, legal and financial impact upon the County Council.	CD BES	BES AD H&T	L	L	M	M	H	3	11	30/09/2019	L	L	M	M	H	3	Y	CD BES
◀	7/23 - Major Incident and Business Continuity	Failure to plan and respond effectively to a major incident without major impact upon routine service performance or longer term impact on service delivery. Such incidents may include animal health disease, flooding and other severe weather, Service breakdown including critical resources (eg property, people and ICT) resulting in the need to deliver additional service in order to ensure effective enforcement/containment and minimal disruption to critical services.	CD BES	CD BES	L	M	H	H	M	3	4	30/09/2020	L	M	H	H	M	3	Y	CD BES
▼	7/7 - Statutory Duties	Failure to carry out statutory duties or meet statutory deadlines (e.g. Health and Safety, safe guarding, information governance, prevention of waste pollution, planning responsibilities, statutory property related issues, driver/vehicle guidance) resulting in Corporate Manslaughter, increased cost/claims, fines/prosecution and criticism.	CD BES	CD BES	L	M	M	M	H	3	7	30/09/2020	L	M	M	M	H	3	Y	CD BES
◀	7/24 - Capital Programme	Ineffective management of capital programme including major schemes, LEP, LTP, Waste Management and projects resulting in significant overspend/underspend, weak use of resources, loss of reputation and performance.	CD BES	CSD AD SR (ML)	L	M	H	M	M	3	7	31/03/2020	L	M	H	M	M	3	Y	CD BES

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Key	
	Risk Ranking has worsened since last review.
	Risk Ranking has improved since last review
	Risk Ranking is same as last review
- new -	New or significantly altered risk