



East Riding of Yorkshire Council

Transport Asset Management Plan

2016 – 2029

Appendix D

Risk Assessments

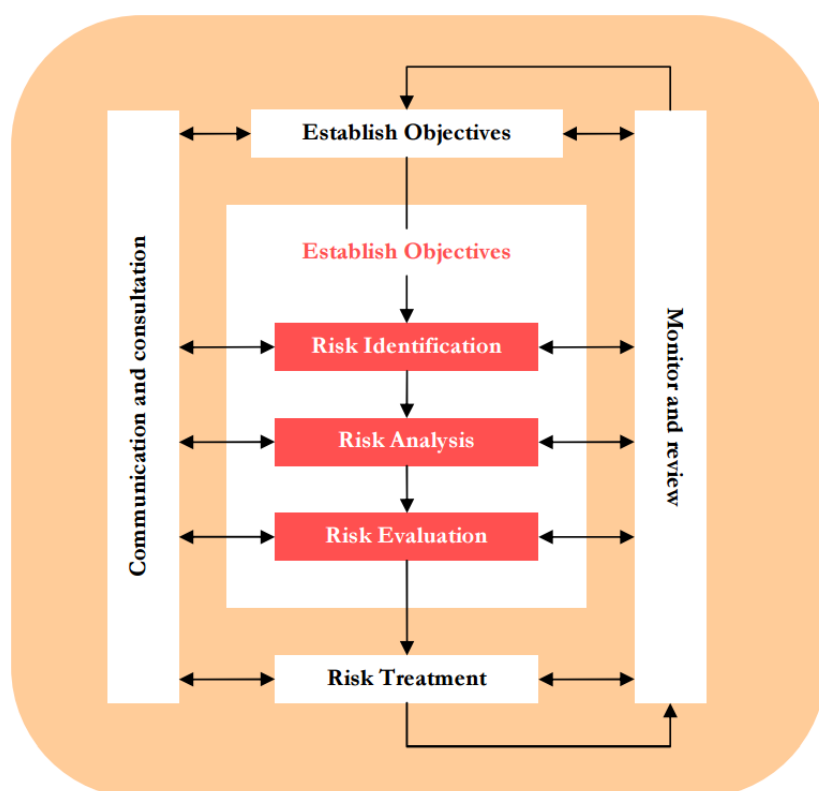


RISK MANAGEMENT

Risk management is a key part of the Council's corporate governance arrangements providing assurance to meet the requirements of the Accounts and Audit Regulations 2015; supporting the Council's Annual Governance Statement and ensuring the Council understands and manages the risks it faces at a strategic, service, partnership and project level. The overall objective is to minimise the likelihood of injury, damage and loss and to ensure business continuity.

The process of risk management follows the seven key stages described in the Council's Risk Management Strategy (Figure 1), reviewed and approved by Cabinet in September 2011 and last updated in July 2015. These are set out below:

Figure 1: East Riding of Yorkshire Council Risk Management Strategy



Source: A structured approach to Enterprise Risk management (ERM) and the requirements of ISO 31000, AIRMIC, Alarm, IRM (2010).

The Council's strategy sets out a clear ownership and a risk governance framework that is embraced by the whole authority.

The Cabinet, in making decisions and advising the Council on corporate policies, plans and strategies, will determine the organisation's overall risk appetite, that is the amount and type of risk that it is prepared to seek, accept, or tolerate. This appetite will be reviewed through the regular quarterly updates of the strategic risk register and through the decision making process.

Service Plans, incorporating more detailed priority outcomes are routinely reviewed along with the associated risks by the relevant Head of Service.

Service Level Risks are recorded for the Asset Strategy, Infrastructure & Facilities and Streetscene services which are involved in the delivery of highway management and strategic risks escalated up to the Council's Strategy Risk Register.

Risks are measured in two ways:

- The likelihood of the risk event occurring
- The impact on the Council should the risk event occur

The likelihood of the risk event occurring will be given a score from 1 to 5, using the following criteria:

Likelihood	Score	Description	Criteria
Almost certain	5	The event is expected to occur in most circumstances	Probability of occurring in the next year > 90%
Likely	4	The event will probably occur in most circumstances	Probability of occurring in the next year = 60% to 90%
Possible	3	The event will occur at some time	Probability of occurring in the next year = 30% to 60%
Unlikely	2	The event is not expected to occur	Probability of occurring in the next year = 10% to 30%
Remote	1	The event may only occur in exceptional circumstances	Probability of occurring in the next year < 10%

The impact of a risk event will also be scored from 1 to 5 using the following criteria:

Impact	Score
Catastrophic	5
Major	4
Moderate	3
Minor	2
Insignificant	1

The total risk score is the highest impact score multiplied by the likelihood score.

On the following pages, risk assessments for each of the Asset Groups have been defined and mitigation measures assigned to control owners.

Reference

East Riding of Yorkshire Council Risk Management Strategy - July 2015

<http://www2.eastriding.gov.uk/council/governance-and-spending/governance-and-risk/risk-management/>

Risk Assessment – Carriageways

Risk Ref.	SR12/01 - Highway Infrastructure - Carriageway				Directorate	PER	
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy	
Risk Category					Section		
Risk Sub Category					Team/Function	Highway Asset Management	
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore	

Objective

Ensure that our highway infrastructure is well maintained, making efficient use of existing resources

Risk Description

Failure to maximise potential of the Council's assets and ensure the asset base is sustainable.
Highway Infrastructure - Carriageway

Causes

1	Collapse of Asset
2	Failure of existing assets to appropriately support statutory public highway demands
3	Failure of developing assets to take account of future public highway demands
4	Deterioration of asset to an unsafe state creating a skidding hazard or surface damage leading to loss of control (Failing Material Surface)
5	Ineffective investment in the carriageway infrastructure

Consequences

1	Fatality / Death / Serious Injury of Public or Staff
2	Loss of economic viability of Area
3	Loss of Local Authority Services / Closure
4	Legal Challenge, 3rd Party Damages and Associated Costs
5	Increased Public Dissatisfaction with Local Authority
6	Cost of Reconstruction

Risk Score

	Impact					Likelihood	Total Score (I x L)	Risk	Action By
	Service Delivery	Financial Impact	Health & Safety	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		

Existing Controls

Ref	Details of Control	Rational: Likelihood, Reduces Impact or Both	Control Update	Control Owner
	Carriageway Asset Management Plan	Both		Highway Asset Manager
	Asset Inventory - Carriageway	Both		Highway Asset Manager
	Condition Assessment - Carriageway	Both		Highway Asset Manager
	Planned Programme of Investment	Both		Highway Asset Manager
	Responsive Safety Regime	Both		Highway Maintenance Manager
	Delivery Framework	Likelihood		Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager

Risk Assessment – Footways and Cycleways

Risk Ref.	SR12/01 - Highway Infrastructure - Footway/Cycleway				Directorate	PER	
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy	
Risk Category					Section		
Risk Sub Category					Team/Function	Highway Asset Management	
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore	

Objective

Ensure that our highway infrastructure is well maintained, making efficient use of existing resources

Risk Description

Failure to maximise potential of the Council's assets and ensure the asset base is sustainable.
Highway Infrastructure – Footway/Cycleway

Causes

1	Collapse of Asset
2	Failure of existing assets to appropriately support statutory public highway demands
3	Failure of developing assets to take account of future public highway demands
4	Deterioration of asset to an unsafe state creating a trip hazard (Failing Material Surface)
5	Ineffective investment in the footway infrastructure

Consequences

1	Fatality / Death / Serious Injury of Public or Staff
2	Loss of economic viability of Area
3	Loss of Local Authority Services / Closure
4	Legal Challenge, 3rd Party Damages and Associated Costs
5	Increased Public Dissatisfaction with Local Authority
6	Cost of Reconstruction

Risk Score

	Impact					Likelihood	Total Score (IxL)	Risk	Action By
	Service Delivery	Financial Impact	Health & Safety	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		

Existing Controls

Ref	Details of Control	Rational: Reduces Likelihood, Impact or Both	Control Update	Control Owner
	Footway Asset Management Plan	Both		Highway Asset Manager
	Asset Inventory - Footway	Both		Highway Asset Manager
	Condition Assessment - Footway	Both		Highway Asset Manager
	Planned Programme of Investment	Both		Highway Asset Manager
	Responsive Safety Regime	Both		Highway Maintenance Manager
	Delivery Framework	Likelihood		Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager

Risk Assessment – Structures

Risk Ref.	SR12/01 - Highway Infrastructure - Structures				Directorate	PER			
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy			
Risk Category					Section				
Risk Sub Category					Team/Function	Highway Asset Management			
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy		
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore			
Objective									
Ensure that our highway infrastructure is well maintained, making efficient use of existing resources									
Risk Description									
Failure to maximise potential of the Council's assets and ensure the asset base is sustainable. Highway Infrastructure - Structures									
Causes									
1	Collapse of Asset								
2	Failure of existing assets to appropriately support statutory public highway demands								
3	Failure of developing assets to take account of future public highway demands								
4	Deterioration of asset to an unsafe state creating a hazard								
5	Ineffective investment in highway structures								
Consequences									
1	Fatality / Death / Serious Injury of Public or Staff								
2	Loss of economic viability of Area								
3	Loss of Local Authority Services / Closure								
4	Legal Challenge, 3rd Party Damages and Associated Costs								
5	Increased Public Dissatisfaction with Local Authority								
6	Cost of Reconstruction								
Risk Score									
	Impact					Likelihood	Total Score (IxL)	Risk	Action By
	Service Delivery	Financial Impact	Health Safety &	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		
Existing Controls									
Ref	Details of Control		Rational: Likelihood, or Both	Reduces Impact	Control Update		Control Owner		
	Structures Asset Management Plan		Both				Highway Asset Manager		
	Asset Inventory - Structures		Both				Highway Asset Manager		
	Condition Assessment - Structures		Both				Highway Asset Manager		
	Planned Programme of Investment		Both				Highway Asset Manager		
	Responsive Safety Regime		Both				Highway Maintenance Manager		
	Delivery Framework		Likelihood				Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager		

Risk Assessment – Street Lighting

Risk Ref.	SR12/01 - Highway Infrastructure – Street Lighting				Directorate	PER			
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy			
Risk Category					Section				
Risk Sub Category					Team/Function	Highway Asset Management			
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy		
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore			
Objective									
Ensure that our highway infrastructure is well maintained, making efficient use of existing resources									
Risk Description									
Failure to maximise potential of the Council's assets and ensure the asset base is sustainable. Highway Infrastructure – Street Lighting									
Causes									
1	Collapse of Asset								
2	Failure of existing assets to appropriately support statutory public highway demands								
3	Failure of developing assets to take account of future public highway demands								
4	Deterioration of asset to an unsafe state creating a hazard								
5	Ineffective investment in highway structures								
Consequences									
1	Fatality / Death / Serious Injury of Public or Staff								
2	Loss of economic viability of Area								
3	Loss of Local Authority Services / Closure								
4	Legal Challenge, 3rd Party Damages and Associated Costs								
5	Increased Public Dissatisfaction with Local Authority								
6	Cost of Reconstruction								
Risk Score									
	Impact					Likelihood	Total Score (IxL)	Risk	Action By
	Service Delivery	Financial Impact	Health Safety &	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		
Existing Controls									
Ref	Details of Control		Rational: Likelihood, or Both	Reduces Impact	Control Update		Control Owner		
	Street Lighting Asset Management Plan		Both				Highway Asset Manager		
	Asset Inventory – Street Lighting		Both				Highway Asset Manager		
	Condition Assessment – Street Lighting		Both				Highway Asset Manager		
	Planned Programme of Investment		Both				Highway Asset Manager		
	Responsive Safety Regime		Both				Highway Maintenance Manager		
	Delivery Framework		Likelihood				Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager		

Risk Assessment – Street Furniture

Risk Ref.	SR12/01 - Highway Infrastructure – Street Furniture				Directorate	PER				
Date	Created	01/04/14	Last Edited	06/01/17	Service	Asset Strategy				
Risk Category					Section					
Risk Sub Category					Team/Function	Highway Asset Management				
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy			
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore				
Objective										
Ensure that our highway infrastructure is well maintained, making efficient use of existing resources The Council will aim to manage our street furniture to best enhance the street environment. We will minimise clutter and aim to provide clear information to the highway user.										
Risk Description										
Failure to maximise potential of the Council's assets and ensure the asset base is sustainable. Highway Infrastructure - Street Furniture										
Causes										
1	Collapse of Asset									
2	Failure of existing assets to inform or warn of pending hazard									
3	Failure of existing assets to deter unsafe use of the highway									
4	Deterioration of asset to an unsafe state									
5	Ineffective investment in the street furniture									
Consequences										
1	Fatality / Death / Serious Injury of Public or Staff									
2	Loss of economic viability of Area									
3	Loss of Local Authority Services / Closure									
4	Legal Challenge, 3rd Party Damages and Associated Costs									
5	Increased Public Dissatisfaction with Local Authority									
6	Cost of Reconstruction									
Risk Score										
	Impact					Likelihood	Total Score (IxL)	Risk	Action By	
	Service Delivery	Financial Impact	Health & Safety	Damage to Reputation	Highest Impact					
Inherent Score	5	5	5	5	5	5	25			
Residual Score	3	3	5	4	5	3	15			
Target Score	3	3	5	3	5	3	15			
Existing Controls										
Ref	Details of Control			Rational: Reduces Likelihood, Impact or Both	Control Update		Control Owner			
	Street Furniture Asset Management Plan			Both			Highway Asset Manager			
	Asset Inventory - Street Furniture			Both			Highway Asset Manager			
	Condition Assessment - Street Furniture			Both			Highway Asset Manager			
	Planned Programme of Investment			Both			Highway Asset Manager			
	Responsive Safety Regime			Both			Highway Maintenance Manager			
	Delivery Framework			Likelihood			Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager			

Risk Assessment – Traffic Management

Risk Ref.	SR12/01 - Highway Infrastructure – Traffic Management				Directorate	PER			
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy			
Risk Category					Section				
Risk Sub Category					Team/Function	Highway Asset Management			
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy		
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore			
Objective									
Ensure that our highway infrastructure is well maintained, making efficient use of existing resources									
Risk Description									
Failure to maximise potential of the Council's assets and ensure the asset base is sustainable. Failure of the Highway Infrastructure - Traffic Management									
Causes									
1	Collapse of Asset								
2	Failure of existing assets to appropriately support statutory public highway demands								
3	Failure of developing assets to take account of future public highway demands								
4	Deterioration of asset to an unsafe state creating a hazard								
5	Ineffective investment in the traffic management infrastructure								
Consequences									
1	Fatality / Death / Serious Injury of Public or Staff								
2	Loss of economic viability of Area								
3	Loss of Local Authority Services / Closure								
4	Legal Challenge, 3rd Party Damages and Associated Costs								
5	Increased Public Dissatisfaction with Local Authority								
6	Cost of Reconstruction								
Risk Score									
	Impact					Likelihood	Total Risk Score (IxL)	Risk	Action By
	Service Delivery	Financial Impact	Health & Safety	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		
Existing Controls									
Ref	Details of Control			Rational: Reduces Likelihood, Impact or Both	Control Update		Control Owner		
	Network Management Plan			Both			Network Manager		
	Asset Inventory - Traffic Management			Both			Highway Asset Manager		
	Condition Assessment - Traffic Management			Both			Highway Asset Manager		
	Planned Programme of Investment			Both			Highway Asset Manager		
	Responsive Safety Regime			Both			Highway Maintenance Manager		
	Delivery Framework			Likelihood			Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager		

Risk Assessment – Land

Risk Ref.	SR12/01 - Highway Infrastructure - Land				Directorate	PER			
Date	Created	05/03/13	Last Edited	06/01/17	Service	Asset Strategy			
Risk Category					Section				
Risk Sub Category					Team/Function	Highway Asset Management			
Risk Level	Strategic		Risk Status			Risk Owner	I Burnett- Head of Asset Strategy		
Action By	CMT				Control Owners	I Burnett/ D Waudby / J Skidmore			
Objective									
Ensure that our highway infrastructure is well maintained, making efficient use of existing resources									
Risk Description									
Failure to maximise potential of the Council's assets and ensure the asset base is sustainable. Failure of the Highway Infrastructure- Land									
Causes									
1	Collapse/loss of Asset								
2	Failure of existing assets to appropriately support statutory public highway demands								
3	Failure of developing assets to take account of future public highway demands								
4	Deterioration of asset to an unsafe state creating a hazard								
5	Ineffective investment in the highway infrastructure								
Consequences									
1	Fatality / Death / Serious Injury to Public or Staff								
2	Loss of economic viability of Area								
3	Loss of Local Authority Services / Closure								
4	Legal Challenge, 3rd Party Damages and Associated Costs								
5	Increased Public Dissatisfaction with Local Authority								
6	Cost of Reconstruction								
Risk Score									
	Impact					Likelihood	Total Score (IxL)	Risk	Action By
	Service Delivery	Financial Impact	Health Safety &	Damage to Reputation	Highest Impact				
Inherent Score	5	5	5	5	5	5	25		
Residual Score	3	3	5	4	5	3	15		
Target Score	3	3	5	3	5	3	15		
Existing Controls									
Ref	Details of Control		Rational: Likelihood, or Both	Reduces Impact	Control Update		Control Owner		
	Transport Asset Management Plan-Land		Both				Highway Asset Manager		
	Asset Inventory - Land		Both				Highway Asset Manager		
	Condition Assessment - Land		Both				Highway Asset Manager		
	Planned Programme of Investment		Both				Highway Asset Manager		
	Responsive Safety Regime		Both				Highway Maintenance Manager		
	Delivery Framework		Likelihood				Highway Asset Manager Civil Engineering Service Manager Highway Maintenance Manager		