Corporate Risk Ref: CR 0001

Change in level of risk since last quarter

=

Implementation of new pay & grading structure

Implementation of new pay & grading structure presents a whole raft of potential risks to the Council. These range from lawfulness issues (e.g. meeting statutory deadlines) and financial considerations (i.e. affordability) to employee relations problems (e.g. industrial action, demoralised workforce, recruitment and retention issues etc).

20

Resources
Key Concerns:

Control:

20

City Strategy
Key Concerns:

Control:

20

Chief Executive's
Key Concerns:

Control:

20

Neighbourhood Services
Key Concerns:

Control:

20

LCCS
Key Concerns:

Control:

20

HASS
Key Concerns:

Control:

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Corporate Risk Ref: CR 0002

Change in level of risk since last quarter

=

Unsuccessful delivery of the administration accommodation review

Efficiencies and facilitation of cultural change through rationalisation to one-site operations. The project relies and has interdependancies with other programmes of work such as FMS replacement and easy@york. A project risk register is being used for management control and planned mitigation purposes.

19

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:
Poor management of cultural change is affecting staff retention
Control:

19

Neighbourhood Services
Key Concerns:

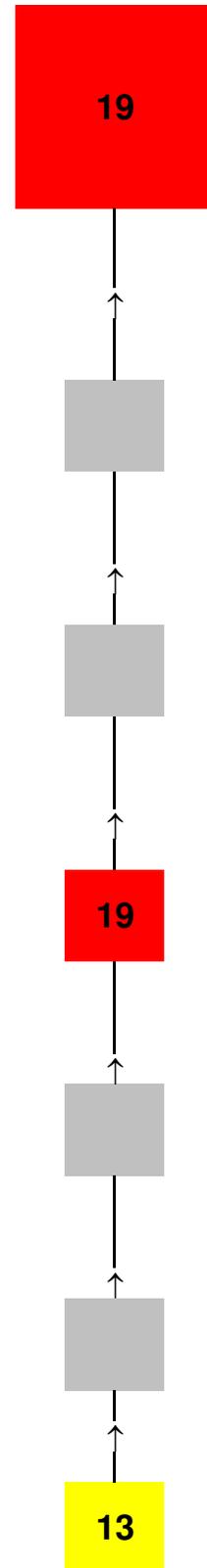**Control:**

LCCS
Key Concerns:

Control:

HASS
Key Concerns:
Evacuation of two sites (Yearsley & Huntington) are critical to the continuation of the Admin Accomm capital funding
Control:
Dedicated project management time-resource
Effective governance through a project board

13

Corporate Risk Ref: CR 0003

Change in level of risk since last quarter

$=$

Failure of waste management strategy partnership

Financial penalties of failing to manage satisfactory partnership solution to waste agenda. Partnership solution with NYCC introduces risks to the programme from CYC perspective (control, breakdown of effective working, governance etc). Project risks of the partnership have been identified and are being managed by NYCC as the lead body

19

Risk
The project fails to deliver an appropriate and efficient solution
Obtaining the sufficient market interest to deliver an appropriate and effective solution
Control
CYC sees all project documentation
Received PQQ's from 12 bidders

19

Risk
Failure to make decision to deliver Waste PFI solution
If the Council fails to take the decision or leaves it to late its may not have the capacity to meet Government targets. Resulting in financial implications and fines of £150/tonne
Control
Maintaining Communication
Inter-authority agreement

18

Risk
Failure of partnership to agree on a waste treatment PFI contract
Exposure to LATS penalties of £150/tonne
Control
Close collaboration between CYC and NYCC

19

Risk
Failure to secure the planning consent for any waste treatment site
Results in non-delivery of the project or a complete rethink of the project
Control
Apply for planning consent early in line with DEFRA guidance
Communication plan
Options secured on two potential sites

19

Risk
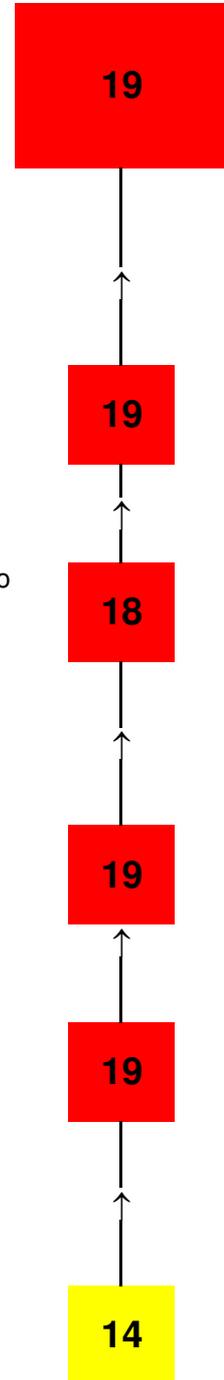**Lack of appropriate funding and resources**
Project resources from CYC are insufficient resulting in tasks undelivered and processes/ procedures not followed and resulting in delay and increase cost
Control
Reported on a regular basis to the Executive
Action
Review budget and staffing levels **Due Date:** 03/04/07

14

Corporate Risk Ref: CR 0004

Change in level of risk since last quarter

$=$

Implications of the forecast budget funding gap

| | 19 |

Failure to set a balanced budget. Issues and risks associated with future funding pressures (failure to deliver statutory services, staff relations problems, on-going political pressures to cut Council infrastrucure to reduce impact on front line delivery etc). All risks, controls and mitigation need to be fully documented incorporated into the risk register for management review and control.

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:
Failure to be fleible in the alignment of capacity to priorities
Control:

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Failure to set a balanced budget to ensure delivery of statutory services
Control:
Effective & consistent financial monitoring
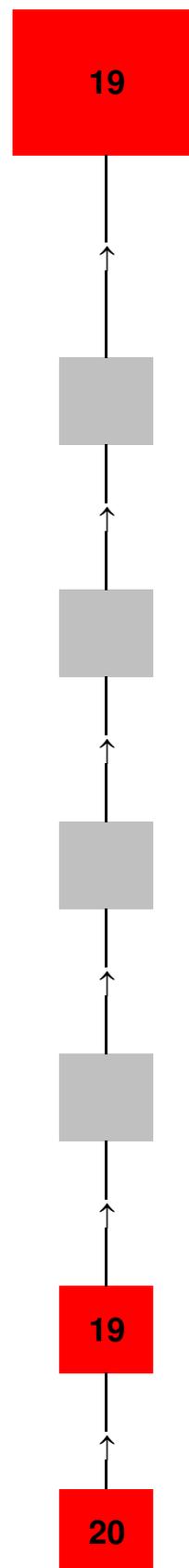Comprehensive briefings through consultative mechanism with all schools

| 19 |

HASS
Key Concerns:
Inability to fulfill statutory duty due to lack of capacity in the care system.
Control:
Detailed financial forecast up to 2020 to quantify the level of risk.
Agreed with PCT 5 priority areas for joint commissioning and investment

| 20 |

Corporate Risk Ref: CR 0005

Change in level of risk since last quarter

=

Failure to deliver Council Strategy

Public failure to achieve stated priorities, associated risks range from reputation issues, political embarrassment and CPA implications to lost opportunities to improve organisational performance across a coherent cultural and management change programme.

15

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:
Potential state of decline in customer satisfaction and the organisation
Control:
Formally approved strategy
Corporate strategy embedded within the council's core processes
Action:
Strengthen champion arrangements for priorities to ensure delivery

20

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
The directorate contributes directly to two priorities & supports the other eight
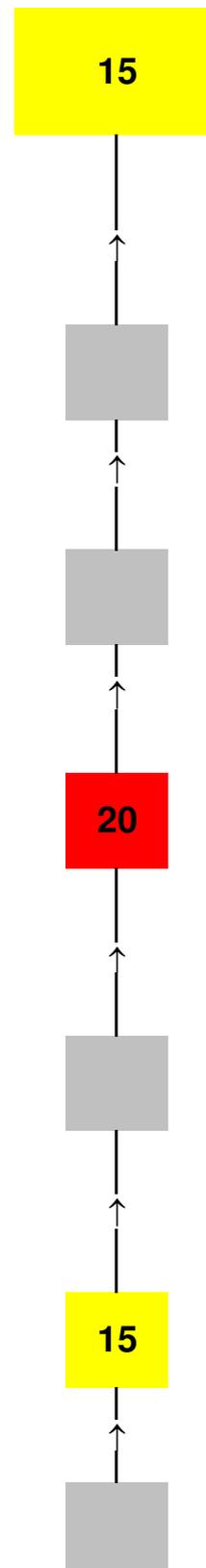**Control:**
Improvement champions responsible for DIP's

15

HASS
Key Concerns:

Control:

Corporate Risk Ref: CR 0006

Change in level of risk since last quarter

=

Failure of the strategic procurement programme

There will be about 15 key strategic procurements set out in the new Strategic Procurement Programme. The overall risk is that the programme will not ensure the effective corporate management of strategic procurement at the Council. There are also a whole range of risks associated with the failure of departments to deliver any individual project.

14

Risk
Inability to provide corporate lead for the strategic procurement programme
Lack of capacity within the CPT to fully support the portfolio
Control
Review of current CPT structure with a view increasing capacity within current budget

19

Risk
Failure to implement monitoring programme
Resulting in potential programme failures are not reported early enough for mitigating actions to be implemented
Control

19

Risk
Lack of buy-in from projects leads for monitoring process
Resulting in difficulties in delivery of correct and up-to-date information
Action
Conduct a briefing session with commissioning officers   **Due Date:** 31/03/08
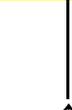
15

Risk

Control

Risk

Control

Action

Corporate Risk Ref: CR 0007

Change in level of risk since last quarter

=

Failure to deliver Local Area Agreement (LAA)

Increasing adverse risks associated with failure further to the expectations set out in the White Paper. Felt to be higher risk issue also due to lack of commitment/investment in LSP and other partnerships by the organisation in the past.

> **14**

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:

Control:

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Failure to achive targets in LAA could result in financial & reputational impacts
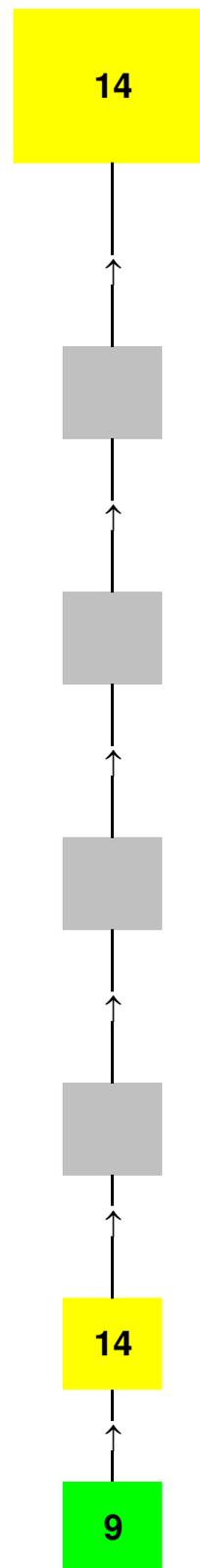**Control:**
Necessary actions included in officer work plans

> **14**

HASS
Key Concerns:
This could arise if we fail to deliver performance targets in the LAA.
Control:
Partners have agreed the priorities for health improvement and issues related to older people and have identified outcomes that have specific targets.

> **9**

Corporate Risk Ref: CR 0008

Change in level of risk since last quarter

=

Failure to maintain or improve the Comprehensive Performance Assessment (CPA) score in January 2008

Reputational and possible future funding risks of scoring less than 'good' but an increased likelihood of such an outcome due to 'the harder test', re-inspection of key blocks in 2007 that may not be sustained at 2002 level and failure to make sufficient improvements in organisational infrastructure/other issues marked down in previous years.

20

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:
Failure to effectively manage the self assessment submission
Control:
Agreed timetable for submission
Agreed approach to on site inspection process
Prioritisation of weaknesses in improvement plans

19

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Poor score in JAR(Joint Area Review) for LCCS would impact the council's CPA score
Control:
Planning & preparation for inspection process
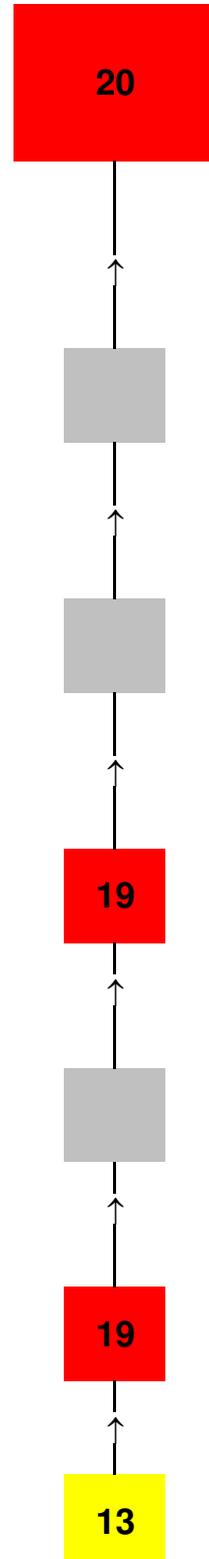Project management used to ensure requirements of the inspection are met

19

HASS
Key Concerns:
There are two blocks of the CPA score directly impacted by HASS, these are about ensuring the quality of housing and adult social services.
Control:
Quarterly review of all performance in the department
Production of self-assessment for social services each year

13

Corporate Risk Ref: CR 0009

Change in level of risk since last quarter

=

Failure to deliver Transformational Government

19

The Council has to respond to keep up with the hopes and aspirations of citizens and business, to remain efficient and trustworthy. The key risk is around the vision to deliver public services, using power of new technologies as this comes back to project & programme management areas of high risk within the Council.

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:

Control:

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Failure to make an effective contribution to programmes of work
Control:
Contribution to corporate programmes of transformational change
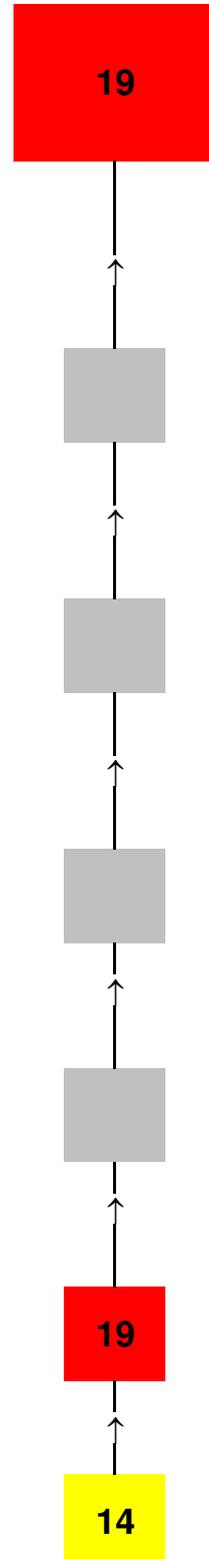Officer input to working groups

19

HASS
Key Concerns:
Relocating Advice and Information, Housing Repairs and Housing Management within phase two of the easy@york programme will involve very challenging projects.
Action:
Feasibility studies through the easy@york team **Due Date:** 04/02/08

14

Corporate Risk Ref: CR 0010

Change in level of risk since last quarter

=

Failure to address BCP (Business Continuity Planning)

The Council has a duty to ensure the continuity of its services to residents and customers. Business Continuity Plans should act as mitigating controls capable of reducing the impact of specific risks such as fire, flood or loss of staff. The lack of these plans reduces the Council's ability to respond and increases the level of exposure to associated reputational risk.

19

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:

Control:

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Inability to provide statutory services in a crisis situation
Control:
Schools require to have emergency plans

19

Action:
Complete BIA's in all areas   **Target Date:** 31/03/08
Complete BCP's in all areas   **Target Date:** 31/03/08
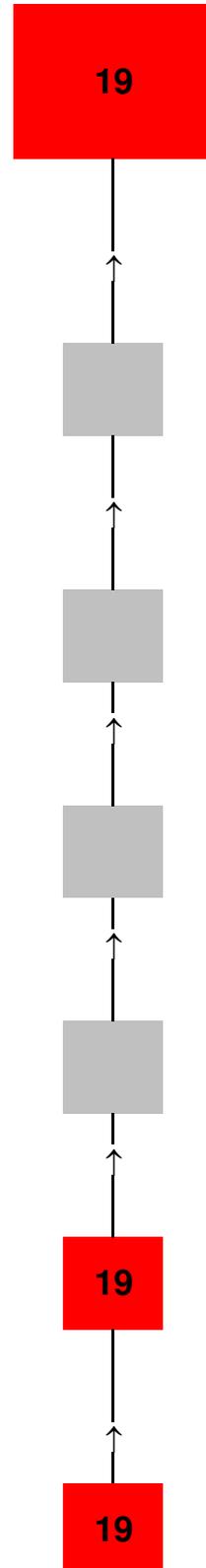Complete directorate plan   **Target Date:** 31/03/08

HASS
Key Concerns:
Particularly important in this directorate due to the statutory responsibilities to protect vulnerable people and prevent homelessness.
Control:
Business impact Assessments complete at most sites

19

Corporate Risk Ref: CR 0011

Change in level of risk since last quarter

=

Partnering -Regulation & Governance

Governance issues around the proper management of partnerships is not robust and leaves the Council open to a variety of potential problems and threats to the organisation. Implications for CPA UOR in 2006 and 2007 refresh exercises and knock on effect on the corporate CPA in 2008.

19

Resources
Key Concerns:

Control:

City Strategy
Key Concerns:

Control:

Chief Executive's
Key Concerns:

Control:

Neighbourhood Services
Key Concerns:

Control:

LCCS
Key Concerns:
Partnerships are effectively managed and governed (schools & YorOK board)
Control:
Joint consultation group
Briefing meetings with head teachers, chairs & governors

19

HASS
Key Concerns:
Potential problems could arise if governance of partnerships is not robust.
Control:
Formal partnership agreements in place
Partnership boards in place to oversee and direct the work of the partnership

8