

KCR 0001 - Implementation of new pay & grading structure

Implementation of the pay & grading review 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).

	RES	CS	NS	CE	LCCS	HASS
1. Inability to retain staff	N/a	13	N/a	15	N/a	14
2. Inability to recruit staff	18	13	12	10	N/a	14
3. Potential industrial action	N/a	N/a	N/a	N/a	N/a	6
4. Decline in customer service	N/a	N/a	N/a	10	N/a	9
5. Increase staff absence	N/a	N/a	6	15	N/a	9
6. Reduced staff productivity	N/a	N/a	N/a	15	N/a	14
7. Inability to contribute to corporate priorities	N/a	N/a	N/a	15	N/a	14
8. Reduced staff morale	15	N/a	N/a	15	N/a	15
9. Potential legal challenge	N/a	N/a	22	9	N/a	12
10. Financial costs to school budgets					20	
11. Significant budget overspend					14	
13. Failure to align budgets and funding	18					

Resources

Risks Last Reviewed: 20/05/2009

2. Difficulties recruiting into professional posts

18

Cause - A lack of clarity as to what the future pay will be

Consequence - This leads to difficulties recruiting into professional posts at lower levels

Controls

In-house training scheme

Owner

Pauline Stuchfield

Conclusion

Treat

Actions

Workforce development plan for Resources

Due Date

31/03/10

13. Failure to align budgets and funding

18

Cause - This is made increasingly difficult due to constant movement because of appeals and leavers and starters.

Consequence - This could result in overspends if the funding is wrong and have a knock on affect to other projects such as FMS and setting the budget for 09/10 and balancing the accounts.

Controls

Re-prioritisation in Corporate Accountancy resulting in increased control

Owner

Keith Best

Conclusion

Tolerate

Neighbourhood Services**Risks Last Reviewed: 28/05/2009****9. Financial risk through potential legal challenges to the new pay structure****22**

Cause - The council may be exposed to challenges over its proposed new pay structure. It may be that some claims will be made that we will require sensitive and delicate discussions with staff, trade unions and solicitors. The council may be at risk from serious financial loss if some of the claims were to be pursued and upheld.

Consequence - If the new pay structure were to come under challenge from large numbers of staff, there will be serious financial implications to the directorate and the council. These are difficult to quantify until the scale of any challenge is known but would run into millions of pounds

Controls

Transparent and fair pay structure

Owner

Geoff Derham

Conclusion**Tolerate****Learning, Culture & Children's Services****Risks Last Reviewed: 22/04/2009****10. Financial costs to school budgets****20**

Cause - SEN allowance dispute/grading of Teaching Assistants in Special Schools

Consequence - Financial costs to school budgets/redundancies/industrial action/reputational damage

Conclusion**Treat****Actions**

Negotiations with trade unions/schools

Due Date

Ongoing

11. Significant budget overspend**14**

Cause - Unbudgeted allowances - Leisure and Library staff

Consequence - Significant budget overspend requiring corrective action

Controls

Application to Corporate Finance to meet additional costs arising

Owner

Charlie Croft

Conclusion**Tolerate**

KCR 0002 - Unsuccessful delivery of accommodation review project

Efficiencies and facilitation of cultural change through rationalisation to one-site operations. The project relies and has interdependencies with other programmes of work such as FMS replacement and Easy@york.

Project Work Streams

Land Assembly	8	8	14				
Design & Construction	19						
Design & Planning	23	8					
Change Management	20	14					
Financial	8						
Property Disposals	16	14	15	10	15		
Marketing & Communications	14	19					
Procurement	22	21	19				

Design & Construction

Risks Last Reviewed: 26/05/2009

1. Onerous conditions on planning permission

19

Cause - Developers design does not fully reflect the local planning guidelines.

Consequence - Significant delay to programme resulting in increased costs due to re-negotiation and lease extensions. Developer terminates agreement. Recommencement of procurement process. Abort procurement process

Controls

Consultation and feedback from Planning

Owner

Ian Asher

Conclusion

Treat

Actions

Pre-planning consultation by developers

Due Date

On going

Design & Planning

Risks Last Reviewed: 26/05/2009

1. Failure to achieve planning approval

23

Cause - Developer solution fails to take into consideration the local planning conditions for the site they have selected. (massing, height, access, materials etc.) Sufficient strength of feeling from third party objections.

Consequence - Delays and consequent costs incurred (lease extensions, re-negotiations) on the project if permission is refused. Developer terminates agreement. Recommencement or abolition of the procurement process.

Controls

Staged design development and approvals

Clearly defined development brief

Planning policy

Owner

Ian Asher

Ian Asher

Ian Asher

Conclusion

Treat

Actions

Awareness of planning policy

Pre planning consultation by developers

Public consultation

Due Date

02/08/09

On going

On going

Change Management Risks Last Reviewed: 26/05/2009

1. Failure of the organisation to implement the corporate transformational change agenda reflected in the new HQ design brief **20**

Cause - If the organisation does not effectively coordinate and implement the transformational change agenda, due to a lack of future vision, direction and robust implementation of a corporate transformational change programme.

Consequence - The Council will fail to achieve the operational efficiencies and improvements in customer service provision, anticipated in the business case. The project will deliver a new head quarters building that is ineffective and inefficient.

Controls
Office of the future project

Owner
Sandra Herbert

Conclusion
Treat

Property Disposals Risks Last Reviewed: 26/05/2009

1. Value of property capital receipts obtained are less than the values used in the projects budget. **16**

Cause - Market conditions or planning restrictions prevent the realisation of the target receipts

Consequence - Increased prudential borrowing required to cover the deficit

Controls
Identify the mid value of property
Ongoing review of the market to determine timing of sales

Owner
John Urwin
John Urwin

Conclusion
Treat

Actions
Maximise capital receipt by developing appropriate planning schemes
Testing of the market

Due Date
30/12/09
31/07/09

Marketing & Communications Risks Last Reviewed: 26/05/2009

1. Leaks to the media **19**

Cause - Lack of awareness of procurement rules amongst those involved or those informed of the outcome of the procurement process due to misinformation or for political gain or nuisance.

Consequence - Reputation damage to CYC and the project. Breach of procurement rules and confidence or commercial confidentiality potentially jepodising the procurement process, and requiring compensation to developers.

Controls
Limit access to information and ensure confidentiality status of documents

Owner
Sandra Herbert

Conclusion
Treat

Actions
Brief of members and senior officers on procurement rules

On going

Procurement Risks Last Reviewed: 26/05/2009

1. Challenge to the procurement process **22**

Cause - Actual or perceived breach of the procurement rules

Consequence - Significant delay Increase in costs, requirement for specialist advice, compensation payments. Potential abort of the process. Damage to council reputation.

Controls
EU Procurement rules and CYC process
External legal advice
Supplier contract management system

Owner
Ian Asher
Ian Asher
Ian Asher

Conclusion
Treat

Actions
Robust tender documents

Due Date
20/08/09

2. Developers unable to meet the requirements of the development brief

21

Cause - Developers are unable to comply with the brief due to council aspirations, as outlined in the design brief, exceeding the budget.

Consequence - Reduction in scope.- size and/or quality.Less effective building due to increase in staff density resulting in negative feedback and staff dissatisfaction.Abort procurement process.Reputational damage to CYC.

Controls

Realistic development brief
Arrange bidder days for dialogue

Owner

Ian Asher
Ian Asher

Conclusion

Treat

Actions

Inclusion of Stamp Duty

Due Date

13/07/09

3. Too many bidders withdraw from the procurement process

19

Cause - Bidders regard the development brief, heads of terms, or invitation to participate in dialogue unacceptable or unachievable.

Consequence - Significant delay to programme, increases in construction or developemnt costs caused by those delays,l cost and delays in seeking external legal advice, abort and recommence procurement process or negotiate with single bidder, go back to Hungate, compromise the project scope.

Controls

Professional advice to ensure specification is achievable
Control negotiation during tender dialogue phase
Dialogue with developers to understand their concerns

Owner

Ian Asher
Ian Asher
Ian Asher

Conclusion

Treat

Actions

Refine Specification during dialogue

Due Date

On going

KCR 0003 - 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

Project Work Streams

Project Delivery	14	6	14	6	14		
Planning Consent	13	18	14	23			
Procurement	18	6	13	13			
Financial	23	17	6	21	19	20	20
Leadership & communication	13	20	12	22	19		
Partnership	19	11	13	14			

Planning Consent Risks Last Reviewed: 18/05/2009

1. Failure to secure and/or demonstrate adequate consultation 18

Cause - This is to be completed as part of the statutory consultation on planning.

Consequence - This could cause judicial review and objections.

Conclusion

Tolerate

2. Failure to secure planning consent 23

Cause - Failure to secure planning consent on any of the selected sites. If there is not enough of project preparation to ensure the site is the most appropriate and all the required testing has been complete. Environmental Impact assessments etc.

Consequence - This could result in non-delivery of project

Controls

Identification of suitable alternative sites

Owner

Bill Woolley

Conclusion

Treat

Actions

Audit of the preparation process

Due Date

30/06/09

Procurement Risks Last Reviewed: 18/05/2009

1. Potential challenge of process 18

Cause - If the losing bidder deems the evaluation has been inappropriate

Consequence - The Council could be sued and incur costs and therefore may not be able to award the contract

Controls

Auditable trails of documentation

Owner

Bill Woolley

Conclusion

Tolerate

Financial Risks Last Reviewed: 18/05/2009

1. Planning delays could lead to increased costs 23

Cause - Due to the cost of land filling being higher than the cost of the treatment facility any delay in the construction and operation of the facility will cause increased costs.

Consequence - This could lead to planning delays and increased costs.

Controls

Work with bidders and NYCC planners

Owner

Bill Woolley

Conclusion

Tolerate

2. Solution is unaffordable **17**

Cause - The Government have imposed penalties designed to reduce the amount of BMW going to landfill and these penalties are prohibitive and the Council cannot achieve the reduction in BMW to landfill without a disposal facility. The cost of this facility highly significant but lower than the penalties.

Consequence - The Council will be subject to penalties which will cost even more.

Controls

Highlight as a budget requirement in MTF5
The Council has signed up to closing the affordability gap

Owner

Bill Woolley
Bill Woolley

Conclusion

Tolerate

3. Inability to fund the procurement **21**

Cause - Insufficient budget in order to fund project requirements.

Consequence - The procurement will be delayed or might not occur or the contract could be inappropriate.

Conclusion

Treat

Actions

Application for growth bid

Due Date

20/01/10

4. Possible enquiry would lead to increased costs **19**

Cause - If there is a planning inquiry.

Consequence - Increased costs due to delay to the construction.

Controls

Project programme includes time for planning debate
Work to ensure the site is deliverable

Owner

Bill Woolley
Bill Woolley

Conclusion

Tolerate

5. Inability to secure private finance **21**

Cause - Bidders may be in a position where they are unable to secure the lending they require, due to the current economic climate

Consequence - This could result in significant delays or even in the project having to be terminated

Conclusion

Treat

Actions

Look into alternative ways of funding the project

Due Date

30/06/09

6. Reduced waste arisings **20**

Cause - Due to economic downturn and other waste minimization activities, the long term waste tonnage forecasts by NYCC and/or CYC could make project unviable or delayed

Consequence - i) If project is unaffordable then no contract will be awarded with a potential for both bidders to sue the councils for aborted bid costs (see risk 1030)
ii) If project delayed CYC may need to reconsider the medium term LATS avoidance strategy

Conclusion

Treat

Actions

Internal waste board reviewing waste tonnage forecasts

Due Date

31/10/09

Leadership & Communication **Risks Last Reviewed: 18/05/2009**

1. Negative perception of treatment plants and technologies **20**

Cause - Failure to communicate to stakeholders regarding the benefits and requirement for a treatment site.

Consequence - This could result in protests and lead to delays in project. This could lead to objections of planning permission.

Controls

Communication Strategy
Communication Plan

Owner

Bill Woolley
Bill Woolley

Conclusion

Tolerate

2. Project terminated

22

Cause - The project could be deemed unacceptable by Council Executives.

Consequence - This would leave the Council exposed to increasing landfill costs, including landfill

Controls

Communication Strategy

Owner

Bill Woolley

Conclusion

Treat

Actions

Contract negotiations with preferred bidder

Due Date

02/03/09

3. Lack of continuity in the strategic leadership of the project

19

Cause - The Council does not react quickly enough to ensure continued strategic leadership and input into the project from City of York Council's perspective.

Consequence - This could result in the project being delivered to North Yorkshire County Council's requirements without City of York Council's requires being included and we will have to sustain the impact of this for the duration of the 25 year contract

Conclusion

Tolerate

Partnership

Risks Last Reviewed: 18/05/2009

1. Failure to agree back to back agreement

19

Cause - There are factors such as costs and political issues that could affect this risk.

Consequence - The Council will not have access to a disposal facility.

Conclusion

Treat

Actions

This will require strategic support

Due Date

TBC

KCR 0007 - Failure to deliver the Local Area Agreement

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.

Economic Development

Risks Last Reviewed: 18/05/2009

1. Limited awareness of LAA within Council and amongst stakeholders

18

Cause - If LAA's stakeholders do not buy-in to it and have a comprehensive understanding of its goals and aspirations
Consequence - This could affect the Council's reputation and have a detrimental affect on the CPA score.

Controls

Agreed approach with the Partnership's Executive Delivery Board
 Communication with CMT
 Communication with Members

Owner

Roger Ranson
 Roger Ranson
 Roger Ranson

Conclusion

Treat

Actions

Due Date

Partnership launch event

24/09/08

2. Lack of agreement of ownership for performance information and management

18

Cause - An uncertainty between partners as to who was leading on certain indicators. A lack of action plans to achieve outcomes.
Consequence - There will be financial penalties for not achieving targets and affects to our reputation in the eyes of the partners and central government. This could have greater repercussions in the future once we move to the CAA inspection regime..

Controls

Work programme
 Working relationships within the LSP
 Agreed process for distribution of LPSA2 monies

Owner

Roger Ranson
 Roger Ranson
 Roger Ranson

Conclusion

Tolerate

KCR 0008 - Implementation of changes required for new Comprehensive Area Assessment and Use of Resources

The Comprehensive Area Assessment encompasses a joint risk assessment undertaken by all local services inspectorates and provides an independent assessment of the prospects for local areas and the quality of life for people living there. It looks at the likelihood of local and national priority outcomes being achieved by focusing on those identified in the Sustainable Community Strategy and related documents such as the Local Development Framework and the Local Area Agreement.

Resources **Risks Last Reviewed: 20/05/2009**

1. Inability to influence our partners performance 18

Cause - Inability to engage with our partners and secure wider involvement for the wider assessment Consequence - Poor performance of our partners results in a our score being lowered

Controls P & BA Partnerships working together PBA-AD Resources to attend LSP delivery Board	Owner Pauline Stuchfield Pauline Stuchfield
Conclusion	Treat
Actions Develop partnership working	Due Date 31/03/10

2. Lack of evidence of good practice 14

Cause - Lack of corporate working 'as a team' and lack of resources Consequence - Poor Organisational Assessment Score and Red Flags in CAA

Controls P & BA repository of evidence and POG group network	Owner Pauline Stuchfield
Conclusion	Treat
Actions Develop and document good practice Identify required outcomes from activities and projects at start	Due Date 31/03/10 31/03/10

3. Incorrect self-assessment judgment 13

Cause - Self evaluation is not balanced or insufficient/poor quality evidence is present Consequence - Poor Organisational Score and Red Flags in CAA

Controls PBA team coordinating self-assessment	Owner Pauline Stuchfield
Conclusion	Treat
Actions Develop action plan from Audit Commission feedback from 2009 process	Due Date 31/12/09

4. Lack of understanding of what it is, why it is important and implications of failure 19

Cause - Lack of communication and engagement, as well as a lack of understanding of what is required Consequence - Poor Organisational Assessment Score and Red Flags in CAA

Controls TBA team engaging key staff	Owner Pauline Stuchfield
Conclusion	Treat
Actions Secure adequate resources Internal & external communications plan	Due Date 30/10/09 30/06/09

5. Lack of buy-in from elected members

18

Cause - A lack of communication and engagement, as well as a lack of understanding of what is required
Consequence - Poor Organisational Assessment Score and Red Flags in CAA

Controls

Regular reports to Executive and Audit & Governance Committee

Owner

Pauline Stuchfield

Conclusion

Treat

Actions

Link members with those from other authorities

Due Date

31/03/10

KCR 0009 - Failure to coordinate significant programmes of change

Organisation fails to coordinate and manage a range of interlinked corporate initiatives that are designed to change the way in which the organisation operates and behaves. These include easy@york, Admin accom and a range of supporting projects. Failure to coordinate change activity will lead to difficulty in resourcing multiple strands of activity, may lead to actions being missed and ultimately not being able to occupy Hungate.

Accommodation Project

Risks Last Reviewed: 17/05/2009

1. Failure of the organisation to implement the corporate transformational change agenda reflected in the new HQ design brief

Cause - If the organisation does not effectively coordinate and implement the transformational change agenda, due to a lack of future vision, direction and robust implementation of a corporate transformational change programme.

Consequence - The Council will fail to achieve the operational efficiencies and improvements in customer service provision, anticipated in the business case. The project will deliver a new head quarters building that is ineffective and inefficient.

KCR 0010 - Failure to ensure Business Continuity

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 legal, financial and reputational risk.

	RES	CS	NS	CE	LCCS	HASS
1. Inability to ensure staff welfare	13	13	13	9	N/a	14
2. Inability to contact staff	12	13	14	8	N/a	12
3. Inability to provide statutory services	19	9	19	13	N/a	12
4. Inability to deliver services	9	8	14	12	18	13
5. Inability to prioritise & allocate resources	9	8	18	13	13	12
6. Failure to recover most time critical IT application	9	8	14	13	13	13
7. Increased staff costs	9	N/a	14	4	N/a	8
8. Increased accommodation costs	9	N/a	14	4	N/a	8
9. Increased equipment costs	9	N/a	14	4	N/a	8
10. Loss of data (hard copy)	9	8	14	18	12	9
11. Increased costs		8				

Resources

Risks Last Reviewed: 21/05/2009

3. Inability to provide statutory services

19

Cause - If there is a lack of leadership in regards to Business Continuity across the organisation as a whole and/or a lack of knowledge of corporate BCP and how divisional plans feed into it.

Consequence - Inability to pay vulnerable people welfare benefits.

Controls

BCP in place for Revenues and Benefits Services

Owner

David Walker

Conclusion

Treat

Neighbourhood Services

Risks Last Reviewed: 28/05/2009

3. Inability to provide statutory services

19

Cause - Service Areas do not currently have complete and updated BCPs

Consequence - Council would suffer reputational damage

Conclusion

Treat

Actions

Complete Business Continuity Plans

Due Date

31/06/2009

5. Inability to prioritise & allocate resources

18

Cause - As Business Continuity plans are not complete and the business impact assessment

Consequence - Potential delays to recovering the service.

Conclusion

Treat

Actions

Complete BCP including analysis of staff resources required

Due Date

31/06/2009

10. Loss of data (hard copy)

18

Cause - Most data held by the directorate is in hard copy only. A disaster could result in total loss of this information.

Consequence - Legal, HR and democratic services files could be lost and we would be unable to replicate the information and be unable to meet contractual or statutory deadlines and obligations.

Controls

Arrangements in place to receive copies from clients and archives etc

Owner

Quentin Baker

Conclusion**Treat****Actions**

Procure a case management system

Due Date

01/08/09

Implement information governance system within directorate

01/08/09

4. Inability to deliver services

18

Cause - Key risk is potential loss of school through fire or asbestos.

Consequence - Short term loss of service whilst temporary provision is made on the site or students redirected to other schools.

Controls

DMT emergency response

Owner

Kevin Hall

Conclusion**Tolerate**

KCR 0011 - Failure to effectively govern and manage partnerships

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.

	WW	SYP	EP	LCY	Y@L	YE	IY	YOK	HC	FP	VY	SC	YPO
1. Unbudgeted financial liability to partnership	N/a	8	N/a	6	8	N/a	N/a	8	8	8	15	14	12
2. Inadequate governance arrangements	8	8	N/a	2	8	8	8	8	8	15	6	8	12
3. Failure to achieve stated outcomes	14	8	N/a	14	14	14	6	13	14	9	14	13	12
4. Failure to manage performance and add value	18	2	N/a	8	13	13	N/a	13	13	4	14	13	12
5. Inability to demonstrate stakeholder consultation	19	2	N/a	13	9	8	6	6	9	13	2	9	12
6. Inadequate medium term financial stability	N/a	14	N/a	19	N/a	N/a	N/a	13	14	13	17	20	14
7. Reputational impact of partnership activities	14	12	N/a	8	8	14	N/a	8	8	14	6	13	14
8. Ability to demonstrate Value for Money in use of funds	N/a	2	N/a	8	N/a	N/a	N/a	6	N/a	2	6	14	N/a

Without Walls Risks Last Reviewed: 18/05/2009

4. Failure to manage performance and add value

18

Cause - If the lead partner does not implement an appropriate way of working, such as joint commissioning or another effective way of working in partnership, with all partners who have an input towards any given target.

Consequence - This could mean we don't achieve the 60% required to receive the performance reward. This could also adversely affect the partners CAA score in the new inspection regime, if it is perceived we are not working in partnership effectively. This would also have a reputational impact.

Controls

Review of Strategic Partnerships

Owner

Nigel Burchell

Conclusion

Tolerate

Without Walls Risks Last Reviewed: 18/05/2009

5. Inability to demonstrate stakeholder consultation

19

Cause - This is a perception measure and can be very difficult to influence. Election turn out results are going down and in general, participation from the community is limited.

Consequence - With effect from April 2009 there is a statutory duty to involve the community in planning services. This is to be used as a success measure in the LAA. If we fail to do this, it could have a reputational

Controls

Adoption of CYC Engagement Strategy

Owner

Nigel Burchell

Conclusion

Tolerate

WW = Without Walls

SYP = Safer York

EP = Economic Partnership

LCY = Learning City York

Y@L = York@Large

YE = York Environment

IY = Inclusive York

YOK = YorOK Board

HC = Healthy City

FP = Future Prospects

VY = Visit York

SC = Science City

YPO = Yorkshire Purchasing Organisation

6. Inadequate medium term financial stability

19

Cause - Insecurity of funding streams, in particular from the LSC (Learning Skills Council).

Consequence - Loss of dedicated resource to service the partnership and this could result in an inability to progress the priorities of the board.

Controls

2008/09 Budget in place

Owner

Pete Dwyer

Conclusion

Tolerate

6. Inadequate medium term financial stability

17

Cause - Income is dependant on the private sector, and this risk could materialise if income falls below projections.

Controls

Work with businesses
Budget monitoring

Owner

Ian Tempest
Ian Tempest

Conclusion

Tolerate

6. Inadequate medium term financial stability

20

Cause - A lack of external funding to undertake core activities in Science City York. Funding ends in March 2009.

Consequence - Impact on the local economy and potential issues in terms of staff.

Controls

Bid for European funding
Discuss with Yorkshire forward re continued funding

Conclusion

Tolerate

Directorate High & Critical Risks

This section is designed to allow Directorate Management Teams to escalate significant risks, not already considered as part of the Key Corporate Risk monitor.

Resources Risks Last Reviewed: 21/05/2009

1. Possible breach of procurement regulations 18

Cause - If officers fail to follow financial and procurement regulations in relation to Official Journal of the European Union (procurements over the value of £150k)

Consequence - This could result in legal challenge and possible court action

Controls

Implementation of SCMS
Procurement guidance manual
Financial regulations & Contract Procedure Rules
Breaches & waivers protocol
Internal Audit review of procurement activities
Internal training courses

Owner

Zara Carter
Zara Carter
David Walker
David Walker
Zara Carter
Zara Carter

Conclusion

Treat

Actions

Due Date

Procurement policy & regulations to be reviewed as part of efficiency prog.

31/07/09

2. Income not maximised 18

Cause - The lack of a framework for determining charges, means we could set charges without taking proper account of the costs of delivering a service

Consequence - This may lead to costs not being recovered. Charges may be set at an inappropriate level and this could mean we miss out on opportunities to increase customer take up and hence less income from customers who choose not to take up the service

Controls

Income Policy Framework
Action plan approved by Executive Committee
Directorate Implementation Plans

Owner

David Walker
David Walker
David Walker

Conclusion

Treat

Actions

Due Date

Implement Directorate Plans
Review as part of efficiency programme
Implement new income collection policy

01/03/10
01/03/10
01/03/10

Neighbourhood Services Risks Last Reviewed:

1. Failure to meet air quality targets 19

Cause - This risk concerns the ability of the Council to ensure that the air quality in certain areas of the city meets the relevant minimum standard

Consequence - This could result in an adverse impact on the council's reputation and the health of residents.

Controls

Annual review of air quality action plan - implement improvements

Owner

Mike Southcombe

Conclusion

Tolerate

1. Equal Pay**20**

Cause - Failure to respond appropriately while addressing historical problems of equal pay arising from national and local conditions of employment.

Consequence - This will expose the Council to significant risks associated with collective and individual claims for equal pay and substantial financial penalties

Controls

Risk management strategy built into pay & grading risk register

Owner

Chris Tissiman

Conclusion

Tolerate

2. Health & Safety Management system not implemented**23**

Cause - If the policies and compliance notes within the H&S management system are not given high enough priority and are not incorporated into day to day work by managers, then the Health & Safety management system will not be implemented effectively.

Consequence - The lack of a safety management system could result in an increase in accidents due to an unsafe working environment.

Controls

Staff training following TNA
Collaborative involvement with Trade Unions
Proactive health & wellbeing management
Workplace H&S baseline assessments

Owner

Jon Grainger
Angela Wilkinson
Angela Wilkinson
Angela Wilkinson

Conclusion

Treat

Actions**Due Date**

Communication of key issues
Observational workplace H&S monitoring embedded

30/06/09
31/12/09