

KCR 0003 Waste management strategy partnership

Corporate Lead Bill Woolley

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

Waste Management Strategy Partnership

City Strategy

Project delays

Risk Owner: Bill Woolley

High

20

Cause Failure to communicate to stakeholders regarding the benefits and requirement for a treatment site.
Failure to secure and/or demonstrate adequate consultation.
Stakeholder issues arise to do with planning and design, due to negative perception of treatment plants and technologies.

Consequence This could result in judicial review, objections of planning permission, protests, public enquiry and significant delays to the project and increase costs.

Controls

- Communication Strategy
- Public Consultation
- Communication Plan
- Work with bidders and NYCC planners
- Project programme includes time for planning debate
- Work to ensure the site is deliverable
- Early feasibility study to be carried out to identify possible areas of concern

Owner

- Bill Woolley

Actions

- Work with planning department
- Consultation to be completed as statutory consultation on planning

Target Date

Revised Date

- 31/08/2010
- 31/08/2010

Failure to secure planning consent

Risk Owner: Bill Woolley

High

19

Cause Failure to secure planning consent on any of the selected sites. If there is not enough 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

Environment Impact Assessment

Participants working closely with planning department re design and site plan

Council engagement with statutory consultees

Engagement with Government Office

Requirement of bidders to demonstrate how they plan to ensure planning success

Post preferred bidder to work closely with participant through planning - community

Owner

Bill Woolley

Bill Woolley

Patrick Looker

Patrick Looker

Patrick Looker

Patrick Looker

Patrick Looker

Potential challenge of the procurement process

Risk Owner: Bill Woolley

High

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

Solution is unaffordable

Risk Owner: Bill Woolley

High

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.

Consequence The cost of this facility highly significant but lower than the penalties. The Government has contributed £65m through PFI credits towards these costs, however, the likely net impact is still highly significant to the Council. Should the Council fail to set the monies aside to deal with it.

Controls

Highlighted as a budget requirement as part of the MTF5.

The Council has signed up to closing the affordability gap

Owner

Bill Woolley

Bill Woolley

KCR 0008 Comprehensive Area Assessment & Use of Resources

Corporate Lead Ian Floyd

The new Comprehensive Area Assessment, to be introduced from April 2009, encompasses a joint risk assessment undertaken by all local services inspectorates and will provide an independent assessment of the prospects for local areas and the quality of life for people living there. It will look at the likelihood of local and national priority outcomes being achieved by focusing on those identified in the Sustainable Community Strategy and related documents.

Resources

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

Risk Owner: Pauline Stuchfield

High

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

Communications plan in place
Monitoring and development of communications plan

Owner

Pauline Stuchfield
Pauline Stuchfield

Inability to influence our partners performance

Risk Owner: Pauline Stuchfield

High

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

Actions

Develop partnership working

Target Date

31/03/2010

Revised Date

Lack of buy-in from elected members

Risk Owner: Pauline Stuchfield

High

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
Communication plan

Owner

Pauline Stuchfield
Pauline Stuchfield

Lack of evidence of good practice

Risk Owner: Pauline Stuchfield

Medium

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, Business Planning Steering Group and POG grc

Owner

Pauline Stuchfield

Actions

Identify required outcomes from activities and projects at start as part of business planning

Target Date

31/03/2010

Revised Date

KCR 0010 Emergency Planning & Business Continuity

Corporate Lead Bill Woolley

Business Continuity : - The Council has a statutory duty to have plans in place to ensure the delivery of it's critical services continues throughout any disruption to itself or the community. Emergency Planning: - The Council, as a Category 1 responder to critical incidents, has a duty to maintain both generic and specific plans to respond to the major risks facing it's community.

Corporate

Inability to respond to multiple incidents

Risk Owner: Damon Copperthwaite

Critical

23

Cause The council's Business Continuity Plans currently only deal with single separate incidents.

Consequence If more than one major incident was to occur at one time then the council may not be as able to cope under such circumstances.

Actions

Review departmental business continuity plans

Target Date

31/03/2011

Revised Date

Inability to respond to and assist in the recovery of city of York after a major incident

Risk Owner: Damon Copperthwaite

High

18

Cause Under the Civil Contingencies Act, as a local authority, it is the role of City of York Council to support the emergency services in the case of a major emergency and to provide aid and assistance and advice to the general public.

Consequence Emergency services may not be completely co-ordinated which could hinder the promptness of their response, the speed of recovery of the city, and vulnerable people within the city may be put at risk.

Controls

Emergency Plans for the city
Emergency manuals
Exercising of the plans
Officers on-call

Owner

Damon Copperthwaite
Damon Copperthwaite
Damon Copperthwaite
Damon Copperthwaite

Inability to deliver critical services

Risk Owner: Damon Copperthwaite

Medium

12

Cause If the council does not have appropriate business continuity plans in place throughout the organisation.

Consequence This could result in reputational damage. It could prevent vulnerable people from receiving the care and accessing the services they need.

Controls

75% of departmental BCPs in place
Directorate BCPs in place
Corporate BCP in place
Corporate exercise

Owner

Damon Copperthwaite
Damon Copperthwaite
Damon Copperthwaite
Damon Copperthwaite

Actions

Review all BCPs

Target Date

31/03/2011

Revised Date

KCR 0012 Effects of the Economic Downturn

Corporate Lead Bill Woolley

The council has a duty to enhance the economic well-being of the City. A number of short term measures have been agreed by the Council to respond to the current economic situation. These will be monitored and any scope for further action considered. In addition, the Council will need to consider the effect of the economic situation on increasing demand for specific services and declining income in some areas.

Resources

Corporate Finance

Increase in the value of employer's contribution to LGPS due to effects of economic downturn

Risk Owner: Louise Dixon

Critical

21

Cause A fall in investment returns due to the volatility of the market due to the credit crunch. This could take effect from 1st April 2011.

Consequence At a rough estimate, a 1% increase in the contribution rate is upwards of £700k p.a. so there could be some substantial costs to meet at a time when government funding and council tax income are both under pressure. The Fund's actuary has estimated that an increase of 1-2% per annum may be required over the 3 year period from 2011/12, although the government may "relax" current valuation methodology to lessen the impact.

Actions

Decision to be made for budget setting to 2010-11 to make a provision in advance

Target Date

01/12/2009

Revised Date

City Strategy

City Development and Transport

Reduced levels of tourism due to less in investment of national & regional transport infrastructure

Risk Owner: Damon Copperthwaite

High

20

Cause The financial impact of the economic downturn will almost certainly result in a reduction in investment in regional and national air services, rail network and long distance buses.

Consequence This could mean that potential tourists cannot as easily access the city and may choose to visit other areas, affecting the future economic prosperity of the city.

Controls

Lobbying for sustainable levels of investment and funding
Review policy setting

Owner

Damon Copperthwaite
Damon Copperthwaite

KCR 0015 Fairness & Inclusion

Corporate Lead Bill Hodson

A new, draft Fairness and Inclusion Strategy and Single Equality Scheme for 2009/12 has been approved by the Equalities Leadership Group. This replaces the previous Equalities Strategy (Pride In Our Communities) and Corporate Equality Scheme and also updates the approach in line with the new statutory requirements from April 2009. Both documents have been produced following extensive consultation and engagement with groups and people from the equality strands.

Corporate

Failure to comply with Equalities legislation and best practice

Risk Owner: Paul Murphy

High

20

Cause *If we fail to pass our own audits of communicating with customers, due to a lack of understanding of Equalities legislation and a lack of following established best practice.*

Consequence *Financial costs associated with a tribunal cases. Reputational damage linked to CAA ratings and press coverage.*

If we are not seen to be on the front foot for anti-discrimination policies for both staff and customers.

Controls

EIA - customer communications
Mystery shopping inspector
Equality & Leadership Group

Owner

Paul Murphy
Paul Murphy
Paul Murphy

Actions

Implement actions from recommendations of corporate communications EIA

Target Date

30/06/2010

Revised Date

Be vulnerable to claims of unfairness and inequality and have difficulties recruiting and retaining staff

Risk Owner: Paul Murphy

High

20

Cause *If we do not carried out EIA's for all relevant areas of the business and/or fail to take all required actions determined necessary from those assessments.*

Consequence *The Council could be taken to court by either individuals (employees or service users) or by organisations that represent them. Also we would fail to meet the requirements of the Equality Framework for Local Government and therefore fail to pass key inspections like UoR and CAA. We would fail to meet our own Equality and Inclusion objectives. Possible court action and/or adverse publicity in local or national media. Reputational as a poor equal opportunities employer.*

Controls

Corporate-wide EIA's completed
Staff Equalities Groups (covering the six strands)
Directorate Equalities Leads
Social Inclusion Working Group
Annual programme to complete EIA's
Equalities Leadership Group (ELG)

Owner

Paul Murphy
Paul Murphy
Paul Murphy
Evie Chandler
Evie Chandler
Evie Chandler

Actions

Deliver project plan

Target Date

30/04/2011

Revised Date

KCR 0016 Capital Programme

Corporate Lead Bill Woolley

The Capital Programme delivers a number of capital schemes that directly contribute to the achievement of the Corporate Strategy. All capital schemes are included into the Capital Programme via the annual capital budget process which allocates resources to the projects that facilitate with service delivery and contribute toward the Corporate Strategy. Currently the Capital Programme contains 85 projects over a 5 year period with a budget of over £206m.

City Strategy

City Development and Transport

Transport Capital Programme

Failure to obtain funding for Access York Phase 1

Risk Owner: Tony Clarke

High

19

Cause *If the DfT or CYC funding was not available* Consequence *Project would not proceed*

Controls

Regional Funding Allocation confirmed available.
Follow DfT procedures to obtain main funding.
Follow CYC CRAM procedures for local contribution.

Owner

Tony Clarke
Tony Clarke
Tony Clarke

Actions

Identify CYC funding through CRAM process
Resolve DFT queries on Business Case

Target Date

31/03/2009
31/01/2010

Revised Date

31/03/2010

Learning, Culture and Children's Services

Failure to deliver LCCS school modernisation strategy

Risk Owner: Pete Dwyer

Medium

13

Cause *Late delivery or failure of significant capital projects include: New Manor School, Joseph Rowntree, Rawcliffe and Clifton Primary schools and English Martyrs and Our Lady's primary school merger, and Knavesmire Children's Centre, Further projects subject to DCSF funding.* Consequence *Late delivery of large scale capital projects may lead to reputational damage, financial loss and difficulties with school admissions and accommodating children.*

Controls

Extensive project management
Regular reporting to Members

Owner

Maggie Tansley
Kevin Hall

Learning, Culture and Children's Services

Lifelong Learning and Culture

Failure to deliver York University Pool by 2011

Risk Owner: Charlie Croft

Critical

21

Cause *The University has not set a start date for the construction of the pool and have not yet been able to identify the required £10m funding.*

Consequence *Delivery of the University Pool is dependent on York University instigating the building works. This has so far not happened and therefore it is looking unlikely that it will be complete by 2011. This means that the council will not meet its target to fill the gap in swimming pool provision.*

Actions

Target Date

Revised Date

Strategy meeting with Sport England to consider other delivery models

10/12/2009

Work with the University to try to identify other funding sources.

31/03/2011

Administration & Accommodation Review

City Strategy

Failure to achieve planning approval

Risk Owner: Ian Asher

Critical

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, meetings and approvals

Development of a realistic design brief

Planning policy

Owner

Maria Wood

Ian Asher

Ian Asher

Actions

Target Date

Revised Date

Regular pre planning consultation and meetings with developers

08/05/2009

30/12/2009

Awareness and adherence to planning policy

02/08/2009

30/12/2009

Developers unable to meet the requirements of the development brief.

Risk Owner: Ian Asher

High

18

Cause *Developers are unable to comply with the brief as outlined in the design brief, within 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 dis-satisfaction.
Abort procurement process.
Reputational damage to CYC.*

Controls

Realistic development brief
Professional advice to ensure specification is achievable.

Owner

Ian Asher
Ian Asher

Actions

Seek Clarifications on tender submission

Target Date

16/11/2009

Revised Date

30/12/2009

KCR 0018 Impact of an Ageing Population

Corporate Lead Bill Hodson

This is a long term piece of work which has been initiated by a scoping report to CMT. The next stage is to set up agreed actions for 10/11 and beyond following a workshop with senior managers across the council and an appraisal of the key issues.

Corporate

Inability to understand and respond to the demands of an Ageing Population

Risk Owner: Graham Terry

High

20

Cause *If the Ageing Population Review fails to be given the necessary priority corporately, including required resources for it to be carried out and is not completed by the 31 March 2010 deadline.*

Consequence *We may not understand the extent and scale of the changes required to be made to our services to meet the ageing populations changing demands. This could lead to reputational damage and affect our CAA rating, especially if older people become disengaged with the council and broader social issues.*

Controls

Corporate working group to arrange and oversee review

Owner

Graham Terry

Actions

Attain resources required to complete review

31/12/2009

Revised Date

CLG awareness raising session

31/01/2010

Conduct Corporate Review of impact of an ageing population

31/03/2010

Increasing social care support costs

Risk Owner: Bill Hodson

High

20

Cause *If we do not involve older people in the design and delivery of services such as health, social care, housing and other services and deliver the changes required to manage demand and create efficiencies/savings.*

Consequence *The rising demographic for social care support predictions show that the costs could increase to £12m by 2020. This could happen if the council does not respond and change the way it delivers its services. We will lose the opportunity to have an inclusive design that supports older people's quality of life in the city.*

Actions

Deliver two major projects within More For York Programme

Target Date

31/03/2010

Revised Date

KCR 0019 Safeguarding

Corporate Lead Pete Dwyer

Ensuring that our children and young people in the city are safe and protected has to be a key priority for any authority. This involves not simply ensuring effective interventions into family life but the creation of protective arenas of safety which for example include safe recruitment practice. The individual, organisational and reputational implications of ineffective safeguarding practice are acute

Corporate

Child or young person is injured or killed where safeguarding services should or have already been involved

Risk Owner: Eoin Rush

Critical

22

Cause

Consequence

Controls

Review and monitoring of referral arrangements
Safeguarding Children Board

Owner

Eoin Rush
Eoin Rush

Inability to retain and support experienced safeguarding practitioners in front line social care teams

Risk Owner: Eoin Rush

High

18

Cause This can result because the job is becoming less attractive.

Consequence This can result in inexperienced/agency staff being used who don't have the same level of experience or expertise, or level of commitment.

Controls

Workforce development programme

Owner

Eoin Rush

Schools and other childcare settings do not provide arenas of safety

Risk Owner: Eoin Rush

High

18

Cause If the Safeguarding Board does not provide adequate and sufficient support and advice to these institutions.

Consequence Children and young people may be put at risk and are not identified and brought to the attention of social care teams.

Controls

Advice and support provided by the Safeguarding Children Board

Owner

Eoin Rush

Actions

Create dedicated post to provide support and advice about safeguarding issues

Target Date

31/01/2010

Revised Date