

## Audit & Governance Committee

26 April 2010

Report of the Assistant Director of Customer & Business Support Services  
(Customer Service & Governance)

### Key Corporate Risk Monitor Quarter Four 2009/10

#### Summary

1. The purpose of this paper is to present to Audit & Governance Committee (A&G) the revised risks associated with the refreshed Key Corporate Risks (KCRs) as at the fourth quarter for 2009/10.

#### Background

2. The KCRs are reported to both A&G and Corporate Management Team (CMT) on a quarterly basis as part of the council's overall governance arrangements. The KCRs were reviewed at a session of the Corporate Leadership Group (CLG) in June 2009 and approved by A&G and CMT in September 2009.

#### Quarter Four Monitor

3. The position of the revised KCRs at the end of the fourth quarter of 2009/10 are set out at Annex A and confidential Annex B of this report. The monitor is complete in terms of accurately reflecting the information recorded in the council's risk register (Magique) however, there is an on-going requirement for risk owners to ensure their risks are accurate, complete and up-to-date.
4. Whilst A&G can review the monitor (Annex A & B) in its entirety they may wish to consider some of the following risks in more detail, given the high risk assessment scores:

##### **KCR 0003 Waste Management Strategy Partnership**

- Failure to secure planning consent
- Solution is unaffordable

##### **KCR 0010 Emergency Planning & Business Continuity**

- Inability to respond to multiple incidents

### **KCR 0014 Equal Pay**

- Potential for Administrative Professional Technical & Clerical (APTC) claims

### **KCR 0015 Fairness & Inclusion**

- Failure to comply with Equalities legislation and best practice

### **KCR 0016 Capital Programme**

- Failure to obtain funding for Access York phase 1
- Failure to deliver York University Pool by 2011
- Failure to achieve planning approval (Admin Accom)

### **KCR 0017 More for York**

- Lack of resource to deliver organisational design work
- Risk of identified savings not been achieved

### **KCR 0018 Impact of an Ageing Population**

- Increasing social care support costs

5. In terms KCR0014 'Equal Pay' the risk in relation to the signing of the 'memorandum of understanding' has been removed following its signature.
6. More detailed information can be provided by the appropriate risk owner from the relevant directorate, if it is required in relation to any of the above risks or any others contained within the monitor.
7. The dynamic nature of the council especially at a time when it is undergoing fundamental change in its structure means that new risk focus areas may arise between the formal CLG risk identification sessions. It is important that both A&G and CMT keep the KCR's under constant review and suggest additional risks to be added where appropriate.
8. As a result of the process outlined at paragraph 6 above CMT have suggested adding Climate Change to the KCR's. This follows a report to CMT on the initial findings from the York Local Climate Impact Profile Study. A&G may wish to invite the report author to the 28 July committee to provide more detail and assurance around how this specific risk is being managed or suggest an alternative risk to review.

## **Directorate High & Critical Risks**

9. In terms of High and Critical directorate risks that A&G may wish to consider outside of the KCRs there have been no risks raised from Directorate Management Teams this quarter.

## **Other matters**

10. The Organisational Review and the change in Chief Officer portfolios will lead to changes in lead officer responsibility for the KCRs. Any changes will be reflected in the 2010/11 monitor reports.
11. The MoreforYork risks have now been defined in detail, but further work is required to specify mitigating action and target dates within the register.

## **Options**

- 12 Not applicable.

## **Corporate Strategy**

13. The effective consideration and management of risk within all of the council's business processes will contribute to achieving an 'Effective Organisation' and aid the successful delivery of each theme within the Corporate Strategy.

## **Implications**

14.
  - (a) **Financial** - There are no implications
  - (b) **Human Resources (HR)** - There are no implications
  - (c) **Equalities** - There are no implications
  - (d) **Legal** - There are no implications
  - (e) **Crime and Disorder** - There are no implications
  - (f) **Information Technology (IT)** - There are no implications
  - (g) **Property** - There are no implications

## **Risk Management**

15. In compliance with the council's Risk Management strategy, there are no risks directly associated with the recommendations of this report. The activity resulting from this report will contribute to improving the

council's internal control environment and avoid criticism within the Organisational Assessment under CAA.

## **Recommendations**

16. Audit & Governance Committee are asked to:

- a) Consider, comment and agree on the risks set out at Annex A, confidential Annex B and paragraph 4 of this report;

Reason

*To provide assurance that risks to the council are continuously reviewed and updated.*

- b) Consider the climate change risk or an alternative risk report for A&G in July as set out at paragraph 7;

Reason

*To provide assurance that key risks are regularly monitored and reviewed*

- c) Recommend the climate change KCR be approved by Executive and added to the recently refreshed KCR Register.

Reason

*To provide assurance that key risks are being appropriately managed by the organisation*

## Contact Details

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Report Approved

Date 13.4.10

**Specialist Implications Officer(s)** Not applicable

**Wards Affected** Not applicable

All

For further information please contact the author of the report

### Background Papers

Key Corporate Risk Monitor Quarter Three 2009/10.

### Annexes

Annex A – Key Corporate Risk Monitor

Annex B – Confidential Risks