

**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

## Solution is unaffordable

Risk Owner: Bill Woolley

High

19

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. Inability to obtain agreement with Treasury/DEFRA resulting in failure to get Final Business Case approval.

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. The potential loss of PFI credits means additional cost to the council.

### 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

## 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

# 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: Richard Wood

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.

#### Controls

Emergency Plans for the city  
Emergency manuals  
Officers on-call

#### Owner

Richard Wood  
Richard Wood  
Richard Wood

#### 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: Richard Wood

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  
Plans and manuals updated quarterly (particularly contacts)

#### Owner

Richard Wood  
Richard Wood  
Richard Wood  
Richard Wood  
Richard Wood

#### Actions

Modification of contacts

#### Target Date

30/06/2010

#### Revised Date

## Inability to deliver critical services

Risk Owner: Richard Wood

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

Richard Wood

Richard Wood

Richard Wood

Richard Wood

### 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

High

19

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.

#### Controls

Increase in employer contributions built in to 2010-11 Medium Term Financial P

#### Owner

Louise Dixon

#### Actions

The government will review and may change the valuation methodology

#### Target Date

01/04/2010

#### Revised Date

### City Strategy

#### City Development and Transport

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

Risk Owner: Richard Wood

High

19

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

Access York Phase 1 Dft Funding through RTB

A19 Roundabout Extension, funding from RTB Top-up

Cycling City Dft funding through Cycle England

Access York Phase 2 DaST Connectivity Study with Leeds City Region

LTP 3 Consultation

#### Owner

Richard Wood

## 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.*

### Learning, Culture and Children's Services

#### 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; have the Commission for Equality and Human Rights (CEHR) issue a Notice to Comply; fail to meet the requirements of the Equality Framework for Local Government and therefore fail to pass key inspections like UoR and CAA; fail to meet our own Equality and Inclusion objectives as agreed by elected members. 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

Annual Fairness and Inclusion 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 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.

#### Controls

Identification of potential external funders

#### Owner

Charlie Croft

#### Actions

University to consider private sector funding  
University to review their capital position  
Work with the University to try to identify other funding sources.

#### Target Date

31/03/2011

#### Revised Date

## 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

## 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

Regular pre planning consultation and meetings with developers  
Awareness and adherence to planning policy

### Target Date

08/05/2009  
02/08/2009

### Revised Date

09/04/2010  
31/08/2010

## 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 due to emerging historical building, archaeological or onerous conditions.*

Consequence *Reduction in scope.- eg. Building area or quality.  
Possibly less effective building due to an increase in staff density resulting in negative feedback and staff dissatisfaction.  
Sustainability features put at risk.  
Potential for extended programme due to historic finds.  
Reputational damage to CYC.*

### Controls

Realistic development brief  
Professional advice to ensure specification is achievable.

### Owner

Ian Asher  
Ian Asher

### Actions

Monitor design proposals and early site work  
Advance investigations

### Target Date

08/04/2010  
01/09/2010

### Revised Date

## KCR 0017 More for York

Corporate Lead Ian Floyd

*The efficiency programme contains a number of projects that, if delivered successfully, will produce millions of pounds of cashable efficiency savings which will support the council's budget, keep council taxes low, improve the quality of services and make them more efficient. The council has set aside an invest to save fund and is also going to work with private sector partner to drive through the change required to deliver these projects. Not delivering this programme of efficiencies will lead to further*

### More for York

#### Resources

#### HR - Organisational Design Resources

Risk Owner: Angela Wilkinson

Critical

21

Cause Lack of available resource to start the organisational design work in HR.

Consequence May impact on the ability to have the new structure in place by April 2010.

#### Controls

Prioritise design work

#### Owner

Will Boardman

#### Actions

Finalise Plan

#### Target Date

#### Revised Date

#### Programme - Skills

Risk Owner: Stewart Halliday

High

19

Cause Programme may not have the required in house skills and knowledge at the relevant time.

Consequence Possible reduction in benefits and/or effective implementation.

#### Controls

Resource management review

Regular monitoring of workstream progress

#### Owner

Stewart Halliday

Stewart Halliday

#### Actions

Resource requirement identification

Workstream Review Meetings

#### Target Date

#### Revised Date

## Programme - Identified Savings

Risk Owner: Ian Floyd

High

19

Cause Risk that savings identified will not be achieved.

Consequence Target efficiencies may not be met - this could result in an adverse effect on operational budgets.

### Controls

Capture of Issues  
Regular monitoring of budget realisation  
Regular monitoring of progress

### Owner

Phil Davidson  
Phil Davidson  
Phil Davidson

### Actions

Capture of Workstream and Programme Issues  
Workstream Review Meetings

### Target Date

### Revised Date

## HR - HR and Payroll System Implementation

Risk Owner: Angela Wilkinson

High

18

Cause Delay to the implementation of HR and Payroll system.

Consequence Any significant further delay in the implementation of the HR and payroll system will make it difficult to achieve the efficiencies associated with improved payroll processing.

### Controls

Workload Planning

### Owner

Will Boardman

### Actions

Plan Development

### Target Date

### Revised Date

## Neighbourhood Services - Waste Round Changes

Risk Owner: Dave Atkinson / NS DMT

High

18

Cause Risk that changes to waste rounds are not handled or communicated in an appropriate way.

Consequence Inappropriate handling and communication of changes could lead to a potential problem with staff and customers.

### Controls

Communication of Changes

### Owner

Dave Atkinson

### Actions

Weekly Meetings

### Target Date

### Revised Date

## Programme - Comms

Risk Owner: Stewart Halliday

Medium

14

Cause Failure to communicate effectively to staff impacted by the programme.

Consequence Possible adverse effect on staff morale.

### Controls

JCC Meetings

Workstream Comms Plans

Programme Comms Group

Project and directorate boards to review comms

### Owner

Stewart Halliday

Stewart Halliday

Stewart Halliday

Stewart Halliday

### Actions

Ongoing governance arrangements

Target Date

Revised Date

## Programme - Mobile Working Project

Risk Owner: Stewart Halliday

Medium

14

Cause Several projects are dependent on the mobile working solution being available.

Consequence Possible impact on benefits realisation.

### Controls

Plans and progress reviewed weekly

### Owner

Stewart Halliday

### Actions

Mobile Working control documentation to be generated for each More for York workstream

Target Date

Revised Date

## 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 during 2010.*

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 review by questionnaire

#### Owner

Graham Terry

#### Actions

Formulate corporate action plan

#### Target Date

#### Revised Date

Conduct Corporate Review of impact of an ageing population

31/03/2010

CLG awareness raising session

30/06/2010

#### 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 projections show that the costs could increase by £12m by 2020. This would 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

Enter into a more formal partnership with York Older People's Assembly

#### Target Date

#### Revised Date

Deliver two major projects within More For York Programme

31/03/2010

## 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*

### Learning, Culture and Children's Services

#### Serious injury or death occurs where there is or should have been some safeguarding involvement

Risk Owner: Eoin Rush

Critical

22

Cause Evidence that multi agency procedures were not properly implemented

Consequence Serious case review which would put into the public domain the short comings of any services that were involved

##### Controls

Monitoring of referral arrangements

Safeguarding Children Board

Review of local Authority referral assessment arrangements

Implementation of comprehensive assessment safeguarding children training pr

##### Owner

Eoin Rush

Eoin Rush

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

Dedicated post to provide support and advice about safeguarding issues

##### Owner

Eoin Rush

Eoin Rush