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

City Strategy

Waste Management Strategy Partnership

Project terminated

Risk Owner: Bill Woolley

Critical

22

<u>Cause</u> The project could be deemed unacceptable

by Council Executives.

<u>Consequence</u> This would leave the Council exposed to

increasing landfill costs, including landfill tax and trading scheme penalties. If only one council rejects the other may be liable

for procurement costs.

Controls Owner

Communication Strategy Bill Woolley

Actions Target Date Revised Date

Communications prepared to state case for solution – explain that 30/06/2010 30/09/2010

doing nothing is not an option

Project delays

Risk Owner: Bill Woolley

High

20

<u>Cause</u> 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.

Consultation to be completed as statutory consultation on planning

Consequence

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

31/08/2010

Controls

Communication Strategy

Bill Woo

Communication Strategy
Public Consultation
Bill Woolley
Communication Plan
Bill Woolley
Work with bidders and NYCC planners
Bill Woolley
Project programme includes time for planning debate
Bill Woolley
Work to ensure the site is deliverable
Bill Woolley

Early feasibility study to be carried out to identify possible areas of concern

Bill Woolley

Actions Target Date Revised Date
Work with planning department 31/08/2010 31/12/2010

Page 1 of 15

31/12/2010

Failure to secure planning consent

Risk Owner: Bill Woolley

High

19

<u>Cause</u> 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.

Bill Woolley

31/12/2010

Controls Owner

Identification of suitable alternative sites

Environment Impact Assessment

Bill Woolley

Participants working closely with planning department re design and site plan

Bill Woolley

Council engagement with statutory consultees

Bill Woolley

Engagement with Government Office

Bill Woolley

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

Bill Woolley

Actions Target Date Revised Date

Support provided to NYCC in terms of peer review of planning

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

process

Solution is unaffordable

Risk Owner: Bill Woolley

High

19

<u>Cause</u> 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.

Controls

Highlighted as a budget requirement as part of the MTFS. The Council has signed up to closing the affordability gap

<u>Consequence</u>

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.

Owner

Bill Woolley Bill Woolley

Potential challenge of the procurement process

Risk Owner: Bill Woolley

Medium

13

<u>Cause</u> 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 Owner

Auditable trails of documentation Bill Woolley

Emergency Planning & Business Continuity KCR 0010

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.

Consequence

City Strategy

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

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.

Risk Owner: Richard Wood

Controls Owner

Emergency Plans for the city Richard Wood Richard Wood **Emergency manuals** Exercising of the plans Richard Wood Officers on-call Richard Wood Plans and manuals updated quarterly (particularly contacts) Richard Wood

CYC Emergency Handbook

Richard Wood

Progress reports to CMT

Inability to continue to deliver services following a business disruption event

Risk Owner: High

<u>Consequence</u>

Cause If group and directorate plans are not developed, adopted and embedded at both levels this could result in an inability to continue to deliver services following a business disruption event. the result could be further risk to customers and the community and resultant criticism.

Controls Owner BC working group John Wray

Timetable for driving forward BC in the Council John Wray High

Emergency services may not be

speed of recovery of the city, and vulnerable people within the city may be

John Wray

John Wray

Reputational and potentially litigation and breach of statutory duty leading to censure

put at risk.

of Council.

completely supported which could hinder the promptness of their response, the

18

16

Fairness & Inclusion KCR 0015

Corporate Lead Sally Burns

The refreshed corporate Fairness and Inclusion Strategy and Single Equality Scheme were approved by the Executive in December 2010. This updates the council's fairness and inclusion commitment and action. It also ensures that we meet current statutory duties arising from equality legislation and provides the framework for the development of fair and inclusive service delivery and employment practice in the council. As a result of the introduction of the Single Equality Act 2010, the strategy and scheme w

Communities & Neighbourhoods

Sally Burns

Risk Owner:

Failure to deliver a fair, inclusive and customer-focused organisation will not be realised

<u>Cause</u> The action plan in the corporate Single Equality Scheme is not implemented because of lack of prioritisation, adequate resources and understanding of the issues.

Customers receive poor quality unfair, and Consequence possibly discriminatory, services and staff satisfaction declines due to poor quality employment practices. The council's reputation as a service deliverer and employer declines. We do not meet recognised standards of excellence in services and employment.

High

20

20

20

High

High

Actions **Target Date Revised Date** 31/03/2011 Implementation of directorate equality schemes and monitoring at **Directorate Management Teams** 31/03/2011 Equalities Impact Assessments undertaken and resulting actions implemented 31/03/2011 Staff & member training 31/03/2011 Implementation of the corporate equality system and standards

Vulnerable people cannot access our services and employment opportunities

Risk Owner: Angela Wilkinson

Cause Lack of understanding of the needs of vulnerable people and the barriers they face

when they try to access our services.

plans incorporated into all Human Resources practices

<u>Consequence</u> Vulnerable customers are excluded from

services we provide. We can face legal

challenges.

Actions **Target Date Revised Date**

31/03/2011 Complete and implement Equalities Impact Assessments 31/03/2011 Equalities Impact Assessments undertaken and resulting action

We do not provide fair and inclusive customer-focused services

Risk Owner: Corporate Management Tean

Consequence Vulnerable customers are excluded from

<u>Cause</u> Lack of understanding of the needs of vulnerable customers resulting in lack of remedial action to meet their needs.

services we provide. Our reputation as a quality service provider is reduced. We can face legal challenges.

31/03/2011

Target Date Revised Date Actions

Complete and implement Equalities Impact Assessments in all

service areas

Page 4 of 15

Vulnerable staff are bullied harassed and feel excluded

Risk Owner: Corporate Management Tean

High

20

<u>Cause</u> Lack of understanding of the needs of

vulnerable staff resulting in lack of remedial

action to meet their needs.

<u>Consequence</u> Staff survey results are poor. Vulnerable

staff's health is affected negatively or/and they leave. Our reputation as a good employer is reduced. We can face legal

challenges.

Actions Target Date Revised Date

Implementation of Workforce Plan 31/03/2011

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

Risk Owner:

City Development and Transport

Tony Clarke

Transport Capital Programme

Failure to obtain funding for Access York Phase 1

<u>Cause</u> If the DfT or CYC funding was not available

Consequence Project would not proceed

ControlsOwnerRegional Funding Allocation confirmed available.Tony ClarkeFollow DfT procedures to obtain main funding.Tony ClarkeFollow CYC CRAM procedures for local contribution.Tony Clarke

Actions Target Date Revised Date

Confirm CYC funding through CRAM process 31/03/2009 31/03/2011

Progress scheme once new guidance and results of spending 31/03/2011

review published in Autumn 2010

Risk Owner: Charlie Croft

Communities & Neighbourhoods

Failure to deliver York Sports Village by 2011

<u>Cause</u> The University has not yet set a start date

for the construction of the pool.

Consequence Delivery of the University Pool is

dependent on York University obtaining planning permission & completing the process of applying for external funding.

Critical

Critical

23

21

Controls Owner

Supporting the University in the development scheme Charlie Croft
Supporting the University in their approach for external funding Charlie Croft

Actions Target Date Revised Date

Work with the University to develop the scheme. 31/03/2011
Support the University to complete their funding application. 31/03/2011

Adults, Children & Education

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Failure to deliver LCCS school modernisation strategy

Risk Owner: Pete Dwyer

Medium

13

<u>Cause</u> Late delivery or failure of significant capital

projects include: New Manor School (creative and media extension to 2010), Joseph Rowntree (remaining demolition of old building), Rawcliffe and Clifton Primary schools and English Martyrs and Our Lady's primary school merger, and Knavesmire Children's Centre (nearing completion), Further projects subject to DCSF funding.

<u>Consequence</u>

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

City Strategy

Administration & Accommodation Review

Failure to achieve planning approval

Risk Owner: lan Asher

High

17

<u>Cause</u> 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.

Failure to achieve listed buildign consent.

Consequence L

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

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

Risk Owner: Maria Wood

Medium

14

<u>Cause</u> The organisation does not effectively

coordinate and implement the transformational change agenda.

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 the organisation is unable to use to its

maximum potential.

Controls Owner

Integration with the More for York Programme Maria Wood

Actions Target Date Revised Date

Presentation to More for York Project Board 02/07/2010
Ensure agendas and reports for M4Y project boards are available 27/08/2010

to the accommmodation project.

Preperation of toolkit 29/10/2010

City Strategy

Community Stadium

Capital Funding Gap

Risk Owner: Tim Atkins

High

19

<u>Cause</u> Partner contributions, potential for enabling

development disposal values, land values and external funding contributions are variables that are not possible to clearly define at this stage in the project. The impact this has on the viability of the project is significant. The role of external funding agencies is also important. Due to the changing nature of the funds and their timescales, there is always a significant risk that criteria will change and funds levels reduce

Consequence

There may not be the capital available to

build the stadium development

Controls

External Funding Assessments
Assessment of the potential for enabling development

Flexible Cost Model and business case

Owner

Sarah Milton Tim Atkins

Tim Atkins

Timescales: Planning Application called in

Risk Owner: Tim Atkins

High

19

Cause The Planning Application is called in

<u>Consequence</u> Project is delayed by up to 16 months

Controls

Undertaking discussions with Government Office Tim Atkins

More for York KCR 0017

Corporate Lead **Tracey Carter**

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

Office of the Chief Executive

More for York

Programme - Lack of required in-house skills and knowledge

Risk Owner: Stewart Halliday

Consequence A lack of in-house skills and knowledge

may result in possible reductions in benefits and/or effective implementation of

High

High

19

19

changes.

<u>Cause</u> The programme may not have the required in house skills and knowledge at the

relevant time as a result of inadequate resource planning.

Controls Owner Ongoing review of resource management Stewart Halliday

Monthly workstream review meetings Stewart Halliday and Phil Davids

Programme resources supplemented by external expertise where necessary Stewart Halliday

Actions **Target Date Revised Date**

21/07/2010 Review of training requirements for programme staff 01/09/2010 Initiate internal training courses in lean methodology for CYC staff.

30/09/2010 Development of an in-house business analysis essentials course.

Programme - Non-achievement of identified savings

Cause Risk that identified savings may not be achieved as a result of ineffective or inadequate programme management,

benefits realisation and monitoring.

Ian Flovd

Consequence Not achieving target efficiencies could

Owner

Ross Brown

Ross Brown

Ross Brown

result in an adverse effect on operational

budgets.

Controls

Risk Owner:

Constant monitoring of workstream progress Programme Office and Ross Brc

Early capture of risks and issues Chris May Escalation of issues to programme management Phil Davidson

Budget realisation monitoring

Clear savings sign-off process

Clear escalation route for savings issues

Actions **Target Date Revised Date**

16/07/2010 Regular review of at risk savings 16/07/2010 Review of programme issue log

23/07/2010 Updated savings profiles produced fortnightly

26/07/2010 Review of work to identify further stretch savings

Programme - Cultural resistance to changes proposed by the programme

Risk Owner: Stewart Halliday

High

19

<u>Cause</u> The programme may encounter cultural

resistance to change in business areas.

This may impact the effectiveness of the Consequence

01/06/2010

programme - delaying changes and impacting the realisation of identified

benefits.

Controls Owner

Programme of organisational culture change initiated throughout CYC Charlotte Jennings Yoreka - staff suggestion scheme Charlotte Jennings

Engagement strategy incorporating leadership teams, members and staff Charlotte Jennings

Revised Date Actions Target Date

Introduction of a Staff Suggestion Scheme - initially introduced on

Yoreka - CMT sign-off on plan to broaden scheme to serve as a

30/07/2010 vehicle for all internal staff communications

30/08/2010 Yoreka directorate champions to be appointed

30/09/2010 Planning for staff events

HR - HR and Payroll System efficiency targets may not be achieved

Risk Owner: Angela Wilkinson

This may make it difficult to achieve the

<u>Cause</u> Possible further delay to the HR and Payroll <u>Consequence</u>

System implementation.

efficiencies associated with improved

payroll processing.

Controls Owner

Timely delivery of the Midland contract. Will Boardman Ensure that the Midland contract allows for future efficiencies to be made. Will Boardman

Revised Date Actions Target Date

16/07/2010 Resolve outstanding contract clauses

Neighbourhood Services - ineffective communication of Waste Round changes

Risk Owner: Dave Atkinson / NS DMT

High

High

18

18

Cause Risk that changes to waste rounds are not

handled or communicated in an appropriate way due to inadequate communications

planning and monitoring.

Inappropriate handling and communication <u>Consequence</u>

> of changes could lead to a potential problem with staff and customers.

Controls Owner

Ensure sensitivity in the communication of the changes in rounds and terms and Dave Atkinson Clear communications with customers Dave Atkinson

Weekly meetings with refuse crews Waste Services Manager

Target Date Revised Date Actions

30/09/2010 Targeted communications campaign 30/09/2010 Quality assurance user groups

Programme - Ineffective communications with staff

Risk Owner: Stewart Halliday

Medium

14

<u>Cause</u> Failure to communicate effectively to staff

impacted by the programme due to limited or ineffective communications plans,

procedures and monitoring.

<u>Consequence</u> Ineffective communications may cause an adverse effect on staff morale and thereby reduce the programme's ability to achieve the identified savings and efficiency targets.

Charlotte Jennings

Charlotte Jennings

Charlotte Jennings

Stewart Halliday

31/08/2010

Owner

Controls

Workstream communication plans

Regular weekly or fortnightly staff updates

Programme Communications Group Regular Comms updates to CMT

Next communications update to CMT

Ongoing union engagement at programme level

Ongoing close union involvement at Directorate level

More for York workstream leads **Revised Date Target Date**

More for York workstream leads

Actions 09/07/2010 Workstream comms plans transferred to consistent template 30/07/2010 Approval for new comms governance arrangements by CMT 06/08/2010 Re-draft of the programme communications plan 06/08/2010

More for York newsletter to be distributed to all staff

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KCR 0018 Impact of an Ageing Population

Corporate Lead Pete Dwyer

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.

ACE - Adults

Increasing social care support costs

Risk Owner: **Graham Terry** High

20

<u>Cause</u> 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.

<u>Consequence</u>

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.

Target Date **Revised Date Actions**

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

31/10/2010

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

Risk Owner: Graham Terry

High

18

<u>Cause</u> If the Ageing Population Review fails to be given the necessary priority corporately,

including required resources for it to be

carried out during 2010.

<u>Consequence</u>

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 Owner

Prioritisation of work following CLG and support from the Chief Executive **Graham Terry**

Actions Target Date Revised Date

31/10/2010 Consultation with stakeholders to formulate corporate action plan

Safeguarding KCR 0019

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

Adults, Children & Education

Risk Owner: Eoin Rush

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

<u>Cause</u> 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 Owner Monitoring of referral arrangements Eoin Rush Safeguarding Children Board Professional Practice Monitoring Group establishe Eoin Rush Review of local Authority referral assessment arrangements Eoin Rush Implementation of comprehensive safeguarding children training programme Eoin Rush

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

Risk Owner: Eoin Rush

Routine Case File Auditing

Consequence

High

Critical

Cause This can result because the job is becoming

less attractive.

This can result in inexperienced/agency

Eoin Rush

staff being used who don't have the same level of experience or expertise, or level of

commitment.

Controls Owner Substantial workforce development programme Eoin Rush

Comprehensive Service Structure review to ensure resilience and flexibility of w

Schools and other childcare settings do not provide arenas of safety

Risk Owner: Eoin Rush

High

18

18

<u>Cause</u> If the Safeguarding Board does not provide

adequate and sufficient support and advice

to these institutions.

<u>Consequence</u>

Children and young people may be put at risk and are not identified and brought to

the attention of social care teams.

Controls Owner

Advice and support provided by the Safeguarding Children Board

Dedicated post to provide support and advice about safeguarding issues

Eoin Rush

Eoin Rush

Financial Pressures KCR 0022

Corporate Lead Ian Floyd

Risk Owner: Keith Best

Risk Owner: Keith Best

Reductions of approximately 25% in government department budgets are expected over the next 4 years. The Council needs a structured and strategic approach to deliver savings through the more for york programme to ensure that any change to service provision is aligned to the Council's key priorities.

Customer & Business Support Services

Inability to achieve funding reduction savings for 2010/11

Regular monitoring of the financial position through in year monitoring

Consequence This could result in a 2010/11 overspend.

Keith Best

This could result in an additional

High

High

19

19

Cause 2010/11 in year budget reductions totaling

£3.16m announced in June may not be achievable at such short notice because some spend is already committed or budgets relate to statutory services

Controls Owner Identify budget reductions at the earliest opportunity Keith Best

Requirement to reduce budgets by approximately 25% over the next 4 years

The council may have to reduce or stop Cause Reductions of approximately 25% in Consequence government department budgets are service provision for non statutory services or increase eligibility criteria for statutory expected over the next 4 years services

Controls Owner Long term financial planning to identify funding gaps Keith Best Identify savings required Keith Best

Initiate targeted service reviews delivered through the More for York programme Keith Best Promote a challenge system amongst officers to identify savings or areas for re-Keith Best

Insufficient time to take action to reduce budgets in a strategic and targeted method

Risk Owner: Keith Best High 19

<u>Cause</u> A funding reduction in excess of the current <u>Consequence</u> untargeted blanket % cut across all forecast could result in insufficient time to services if not properly planned as well as take action to reduce budgets in a strategic service provision which is not aligned to and targeted method

corporate priorities

Controls Owner Long term financial planning to identify funding gaps Keith Best Identify potential savings in excess of current target Keith Best Medium term planning based on modeling and sensitivity analysis updated on a Keith Best

Savings identified beyond 2011/12 are not achieved

Risk Owner: Keith Best High

19

<u>Cause</u> Some service specific savings proposals

may be politically sensitive and alternative savings may need to be identified or the savings are not achieved according to More for York programme timetable

This could result in an additional Consequence

untargeted blanket % cut across all services if not properly planned as well as service provision which is not aligned to

corporate priorities

Controls Owner Regular communication and consultation Keith Best Regular monitoring of progress by More for York programme Keith Best Identify potential savings in excess of current target Keith Best

Customer & Business Support Services

Corporate Finance

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

Risk Owner: Louise Dixon

Medium

13

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 Owner

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

City Strategy

City Development and Transport

Reduced levels of economic development due to less investment of national & regional transport infrastructure

Risk Owner: Richard Wood

High

19

<u>Cause</u> 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 there is less investment available for supporting infrastructure affecting the future economic prosperity of the city.

Controls Owner Lobbying for sustainable levels of investment and funding Richard Wood Review policy setting Richard Wood Access York Phase 1 Dft Funding through RTB Richard Wood A19 Roundabout Extension, funding from RTB Top-up Richard Wood Cycling City DfT funding through Cycle England Richard Wood Access York Phase 2 DaST Connectivity Study with Leeds City Region Richard Wood LTP 3 Consultation Richard Wood