

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

Risk Ref: 1007

Critical

22

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

Consequence *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

Communication Strategy

Owner

Bill Woolley

Actions

Communications prepared to state case for solution – explain that doing nothing is not an option

Target Date

30/06/2010

Revised Date

30/09/2010

Project delays

Risk Owner: Bill Woolley

Risk Ref: 1005

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

Bill Woolley

Bill Woolley

Bill Woolley

Bill Woolley

Bill Woolley

Bill Woolley

Actions

Work with planning department

Consultation to be completed as statutory consultation on planning

Target Date

31/08/2010

31/08/2010

Revised Date

31/12/2010

31/12/2010

Failure to secure planning consent

Risk Owner: Bill Woolley

Risk Ref: 1010

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 - communication process

Owner

Bill Woolley
Bill Woolley
Bill Woolley
Bill Woolley
Bill Woolley
Bill Woolley
Bill Woolley

Actions

Support provided to NYCC in terms of peer review of planning process

Target Date

31/12/2010

Revised Date

Solution is unaffordable

Risk Owner: Bill Woolley

Risk Ref: 1019

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 MTFs.
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

Risk Ref: 1030

Medium

13

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

Corporate Lead Bill Woolley

Business Continuity: The Council has a statutory duty to have plans in place to ensure the delivery of its 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 its community.

City Strategy

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

Risk Owner: Richard Wood

Risk Ref: 1718

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 supported 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)
CYC Emergency Handbook

Owner

Richard Wood
Richard Wood
Richard Wood
Richard Wood
Richard Wood
John Wray

Inability to continue to deliver services following a business disruption event

Risk Owner: Richard Wood

Risk Ref: 0623

High

16

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.

Consequence Reputational and potentially litigation and breach of statutory duty leading to censure of Council.

Controls

BC working group
Progress reports to CMT
Timetable for driving forward BC in the Council

Owner

John Wray
John Wray
John Wray

KCR 0015 Fairness & Inclusion

Corporate Lead Sally Burns

The refreshed corporate Fairness and Inclusion Strategy and Single Equality Scheme were approved by the Executive in December 2009. This updates council 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.

Communities & Neighbourhoods

Councillor's vision and expectations of a fair inclusive and customer-focused organisation will not be realised

Risk Owner: Sally Burns

Risk Ref: 1796

High

20

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

Consequence *Customers receive poor quality unfair, and 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.*

Actions

Ensure staff & member training in equality and Human Rights takes place
Officers understand and follow the corporate equality system and standards
Implementation of directorate equality schemes and monitoring by Directorate Management Teams every quarter
Equality Impact Assessments are undertaken and resulting actions are implemented and monitored

Target Date

31/03/2011
31/03/2011
31/03/2011
31/03/2011

Revised Date

Vulnerable people cannot access our services and employment opportunities

Risk Owner: Sally Burns

Risk Ref: 1797

High

20

Cause *Lack of understanding of the needs of vulnerable people and the barriers they face when they try to access our services and employment opportunities.*

Consequence *Vulnerable customers are excluded from council services and employment opportunities we provide. We can face legal challenges.*

Actions

Complete Equality Impact Assessments of access to services and employment and implement resulting action plans

Target Date

31/03/2011

Revised Date

We do not provide fair and inclusive customer-focused services

Risk Owner: Sally Burns

Risk Ref: 1798

High

20

Cause *Lack of understanding of the needs of vulnerable customers resulting in lack of remedial action to meet their needs.*

Consequence *Vulnerable customers are excluded from services we provide. Our reputation as a quality service provider is reduced. We can face legal challenges.*

Actions

Complete and implement service Equality Impact Assessments and monitor remedial actions

Target Date

31/03/2011

Revised Date

Vulnerable staff are bullied, harassed and feel excluded

Risk Owner: Sally Burns

Risk Ref: 1799

High

20

Cause *Lack of understanding of the needs of vulnerable staff resulting in lack of remedial action to meet their needs.*

Consequence *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

Implementation of Workforce Plan

Target Date

31/03/2011

Revised Date

Monitoring through service planning and PDRs

31/03/2011

Equalities Impact Assessments undertaken for all Human Resources practices

31/03/2011

Consultation with Staff Equalities Reference Group (SERG)

31/03/2011

KCR 0016 Capital Programme

Corporate Lead Bill Woolley & Pete Dwyer

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

Risk Ref: 1319

Critical

23

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

Confirm CYC funding through CRAM process

Target Date

31/03/2009

Revised Date

31/03/2011

Progress scheme once new guidance and results of spending review published in Autumn 2010

31/03/2011

Communities & Neighbourhoods

Failure to deliver York Sports Village by 2011

Risk Owner: Charlie Croft

Risk Ref: 0670

Critical

21

Cause 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.

Controls

Supporting the University in the development scheme

Supporting the University in their approach for external funding

Owner

Charlie Croft

Charlie Croft

Actions

Work with the University to develop the scheme.

Support the University to complete their funding application.

Target Date

31/03/2011

Revised Date

31/03/2011

ACE - Children

Failure to deliver ACE school modernisation strategy

Risk Owner: Kevin Hall

Risk Ref: 0363

Medium

13

Cause 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 (completed), 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

City Strategy

Administration & Accommodation Review

Failure to discharge planning conditions

Risk Owner: Ian Asher

Risk Ref: 1821

High

17

Cause The developer delays or is unable to comply with the planning conditions

Consequence Completion of the construction work and the subsequent handover of the building to the council could be delayed. The council may not be entitled to occupy and/or use the building if planning conditions are not discharged.

Controls

Planning policy
Conditional Sale and Development agreement
Staged design development meetings

Owner

Ian Asher
Ian Asher
Ian Asher

Actions

Monitor discharge of CSDA pre-conditions including developer's discharging of the planning conditions.

Target Date

30/09/2010

Revised Date

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

Risk Owner: Maria Wood

Risk Ref: 0351

Medium

14

Cause *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

Integration with the More for York Programme

Owner

Maria Wood

Actions

Ensure agendas and reports for M4Y project boards are available to the accommodation project.

Target Date

27/08/2010

Revised Date

30/09/2010

Status of this risk to be reviewed by the accommodation project board

24/09/2010

Preparation of toolkit to aid understanding of new ways of working

29/10/2010

City Strategy

Community Stadium

Capital Funding Gap

Risk Owner: Tim Atkins

Risk Ref: 1759

High

19

Cause *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

Risk Ref: 1764

High

19

Cause *The Planning Application is called in*

Consequence *Project is delayed by up to 16 months*

Controls

Undertaking discussions with Government Office

Owner

Tim Atkins

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

HR - Shortfall in Resourcing Strategy Savings

Risk Owner: Angela Wilkinson **Risk Ref: 1820** **High** 20

Cause *The Resourcing Strategy savings are in jeopardy due to delay in the work to implement changes and reduce spend.* Consequence *Shortfall in overall workstream savings.*

Controls

Reconfirm potential savings and reprioritisation of work.

Owner

Angela Wilkinson

Actions

Ensure £40k savings in CANS is taken

Target Date

01/09/2010

Revised Date

04/10/2010

Programme - Lack of required in-house skills and knowledge

Risk Owner: Stewart Halliday **Risk Ref: 1769** **High** 19

Cause *The programme may not have the required in house skills and knowledge at the relevant time as a result of inadequate resource planning.* Consequence *A lack of in-house skills and knowledge may result in possible reductions in benefits and/or effective implementation of changes.*

Controls

Ongoing review of resource management
Monthly workstream review meetings

Programme resources supplemented by external expertise where necessary

Owner

Stewart Halliday
Stewart Halliday and Phil Davidson
Stewart Halliday

Actions

Initiate internal training courses in lean methodology for CYC staff.

BA training course planned for October

Target Date

01/09/2010

22/10/2010

Revised Date

01/10/2010

Programme - Non-achievement of identified savings

Risk Owner: Ian Floyd

Risk Ref: 1771

High

19

Cause Risk that identified savings may not be achieved as a result of ineffective or inadequate programme management, benefits realisation and monitoring.

Consequence Not achieving target efficiencies could result in an adverse effect on operational budgets.

Controls

Constant monitoring of workstream progress
 Early capture of risks and issues
 Escalation of issues to programme management
 Budget realisation monitoring
 Clear escalation route for savings issues
 Clear savings sign-off process

Owner

Programme Office and Ross Brown
 Chris May
 Phil Davidson
 Ross Brown
 Ross Brown
 Ross Brown

Actions

Next update review of at risk savings to identify solutions and mitigations
 Updated savings profile
 New work to identify further stretch savings and efficiencies

Target Date

Revised Date

15/10/2010
 15/10/2010
 01/11/2010

Programme - Cultural resistance to changes proposed by the programme

Risk Owner: Stewart Halliday

Risk Ref: 1795

High

19

Cause The programme may encounter cultural resistance to change in business areas.

Consequence This may impact the effectiveness of the programme - delaying changes and impacting the realisation of identified benefits.

Controls

Programme of organisational culture change initiated throughout CYC
 Yoreka - staff suggestion scheme
 Engagement strategy incorporating leadership teams, members and staff

Owner

Charlotte Jennings
 Charlotte Jennings
 Charlotte Jennings

Actions

More for York newsletter to be distributed to all staff
 Staff event planned for 22nd Sept
 Planning for staff events
 Yoreka boards to be placed in service areas.

Target Date

Revised Date

06/09/2010 18/10/2010
 22/09/2010
 30/09/2010 29/10/2010
 01/11/2010

Neighbourhood Services - ineffective communication of Waste Round changes

Risk Owner: Dave Atkinson / NS DMT

Risk Ref: 1774

High

18

Cause Risk that changes to waste rounds are not handled or communicated in an appropriate way due to inadequate communications planning and monitoring.

Consequence Inappropriate handling and communication of changes could minimise effectiveness of implementation.

Controls

Ensure sensitivity in the communication of the changes in rounds.

Clear communications with customers

Weekly meetings with refuse crews

Owner

Dave Atkinson

Dave Atkinson

Waste Services Manager

Actions

Targeted communications campaign

Target Date

Revised Date

30/09/2010

Quality assurance user groups

30/09/2010

Programme - Ineffective communications with staff

Risk Owner: Stewart Halliday

Risk Ref: 1735

Medium

14

Cause Failure to communicate effectively to staff impacted by the programme due to limited or ineffective communications plans, procedures and monitoring.

Consequence 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.

Controls

Workstream communication plans

Regular weekly or fortnightly staff updates

Programme Communications Group

Regular Comms updates to CMT

Ongoing union engagement at programme level

Ongoing close union involvement at Directorate level

Owner

Charlotte Jennings

More for York workstream leads

Charlotte Jennings

Charlotte Jennings

Stewart Halliday

More for York workstream leads

Actions

Re-draft of the programme communications plan

Target Date

Revised Date

06/08/2010

01/10/2010

More for York newsletter to be distributed to all staff

31/08/2010

18/10/2010

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

Risk Ref: 1715

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

Older Peoples Accomodation review

Target Date

Revised Date

30/06/2011

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

Risk Owner: Graham Terry

Risk Ref: 1714

High

18

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

Prioritisation of work following CLG and support from the Chief Executive
Continue to engage stakeholders in key actions to deliver these.

Owner

Graham Terry
Graham Terry

Actions

Finalise key actions and embed within Service Plans.

Target Date

Revised Date

31/10/2010

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

ACE - Children

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

Risk Owner: Eoin Rush

Risk Ref: 1707

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 Professional Practice Monitoring Group established
Review of local Authority referral assessment arrangements
Implementation of comprehensive safeguarding children training programme
Routine Case File Auditing

Owner

Eoin Rush
Eoin Rush
Eoin Rush
Eoin Rush
Eoin Rush

KCR 0022 Financial Pressures

Corporate Lead Ian Floyd

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

Risk Owner: Keith Best

Risk Ref: 1805

High

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

Consequence This could result in a 2010/11 overspend.

Controls

Identify budget reductions at the earliest opportunity

Owner

Keith Best

Regular monitoring of the financial position through in year monitoring

Keith Best

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

Risk Owner: Keith Best

Risk Ref: 1806

High

19

Cause Reductions of approximately 25% in government department budgets are expected over the next 4 years

Consequence The council may have to reduce or stop service provision for non statutory services or increase eligibility criteria for statutory services

Controls

Long term financial planning to identify funding gaps

Owner

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 review

Keith Best

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

Risk Owner: Keith Best

Risk Ref: 1807

High

19

Cause A funding reduction in excess of the current forecast could result in insufficient time to take action to reduce budgets in a strategic and targeted method

Consequence This could result in an additional untargeted blanket % cut across all services if not properly planned as well as service provision which is not aligned to corporate priorities

Controls

Long term financial planning to identify funding gaps

Owner

Keith Best

Identify potential savings in excess of current target

Keith Best

Medium term planning based on modeling and sensitivity analysis updated on a regular basis

Keith Best

Savings identified beyond 2011/12 are not achieved

Risk Owner: Keith Best

Risk Ref: 1812

High

19

Cause 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

Consequence This could result in an additional untargeted blanket % cut across all services if not properly planned as well as service provision which is not aligned to corporate priorities

Controls

Regular communication and consultation
Regular monitoring of progress by More for York programme
Identify potential savings in excess of current target
Structured and planned approach to budget planning

Owner

Keith Best
Keith Best
Keith Best
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

Risk Ref: 1687

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

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

Owner

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

Risk Ref: 1720

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 there is less investment available for supporting infrastructure 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
Richard Wood
Richard Wood
Richard Wood
Richard Wood
Richard Wood
Richard Wood