

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 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 Amey Cespa 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

Consultation to be completed as statutory consultation on planning

Target Date

31/08/2010

Revised Date

31/12/2011

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
 Amey Cespa working closely with planning department re design and site plan
 Council engagement with statutory consultees
 Engagement with Government Office
 Requirement of Amey Cespa to demonstrate how they plan to ensure planning success
 Work closely with Amey Cespa 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

31/12/2011

Solution is unaffordable

Risk Owner: Bill Woolley

Risk Ref: 1019

Medium

14

Cause The council has agreed to an affordability envelope for the project however this could be breached due to delays, changes in interest rates or exchange rates/ inflation.

Consequence The cost of continuing with the project could be greater than do - minimum in which case the project could be terminated (at a cost to the councils).

Controls

Highlighted as a budget requirement as part of the MTFS.
 The Council has signed up to the additional budget requirement
 Regular monitoring of latest costs
 Review affordability gap
 Manage cost drift with contractor
 Possible need to request further budget

Owner

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

Potential challenge of the procurement process

Risk Owner: Bill Woolley

Risk Ref: 1030

Low

6

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 twice (particularly contacts)
CYC Emergency Handbook

Owner

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

Actions

Continued engagement with Regional partners via Local Resilience Forum and at regional level where appropriate.

Target Date

31/03/2011

Revised Date

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

Actions

A BC Lead for every Directorate has now been identified and Departmental level leads are in the process of being identified.

Target Date

31/03/2011

Revised Date

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.*

Controls

Corporate Fairness and Inclusion Strategy and Single Equality Scheme
Directorate Single Equality Schemes
Equality Framework for Local Government self-assessment and peer assessment

Owner

Evie Chandler
Evie Chandler
Evie Chandler

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: Pauline Stuchfield

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.*

Controls

CBSS directorate Single Equality Scheme

Owner

Pauline Stuchfield

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.

Controls

Directorate Single Equality Schemes

Owner

Evie Chandler

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.

Controls

Workforce Plan

Owner

Pauline Stuchfield

Actions

Implementation of Workforce Plan

31/03/2011

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

Strategic Planning 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

Failure to deliver objectives of LTP

Risk Owner: Tony Clarke

Risk Ref: 1832

High

16

Cause Reduced funding from DfT

Consequence Congestion, air quality, safety levels will worsen.

Controls

Obtain funding from alternative sources

Owner

Tony Clarke

Actions

Progress opportunities for funding through Local Sustainable Transport Fund and Regional Growth Fund

Target Date

21/03/2011

Revised Date

Communities & Neighbourhoods

Failure to obtain planning approval

Risk Owner: Charlie Croft

Risk Ref: 1835

Medium

12

Cause If for any reason the planning authority deemed the scheme not acceptable then planning approval may not be obtained.

Consequence An inability to obtain planning approval would result in the project not going ahead.

Controls

Outline planning permission
Pre-planning meetings
Consultation with Sport England

Owner

Charlie Croft
Charlie Croft
Charlie Croft

Failure to meet the external funding body's criteria

Risk Owner: Charlie Croft

Risk Ref: 1836

Medium

12

Cause Sport England could decide that the project does not meet their criteria.

Consequence The project would not receive the £1m allocation.

Controls

Consultation with Sport England

Owner

Charlie Croft

Barbican lease does not become live

Risk Owner: Charlie Croft

Risk Ref: 1839

Medium

12

Cause There is a conditional development agreement that means certain criteria must be fulfilled before the lease can go live.

Consequence Should this risk materialise than it would mean the process of finding a developer would have to start again resulting in delays to the re-opening, financial impacts to the council from additional legal fees etc, as well as lost opportunity and reputational damage.

Controls

Contract awarded to a company with experienced in this field and has proven track record.

Owner

Charlie Croft

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: Rawcliffe and Clifton Primary schools and English Martyrs and Our Lady's primary school merger. Other schemes now in development include: Clifton Green extension, Applefields school integrated provision, Huntington secondary construction project. Further projects are subject to DfE funding announcements.

Consequence Late delivery of large scale capital projects may lead to reputational damage, financial loss and difficulties with school admissions and accommodating children and young people.

Controls

Extensive project management
Regular reporting to Members

Owner

Maggie Tansley
Kevin Hall

City Strategy

Administration & Accommodation Review

Developers unable to meet the requirements of the development brief.

Risk Owner: Ian Asher

Risk Ref: 1315

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 dis-satisfaction.
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

Target Date

08/04/2010

Revised Date

30/05/2011

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

Risk Owner: Ian Asher

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

Revised report to CMT

Target Date

10/12/2010

Revised Date

04/02/2011

City Strategy

Community Stadium

Commercial Development does not progress

Risk Owner: Tim Atkins

Risk Ref: 1844

High

18

Cause *The developer has problems raising funds.*

Consequence *No enabling funds available resulting in a shortfall of capital. Scheme delayed and / or alternative developer required.*

Controls

Financial protocols

Owner

Tim Atkins

Actions

Due diligence

Soft market test another developer-partner

Target Date

28/02/2011

Revised Date

30/04/2011

Capital Funding

Risk Owner: Tim Atkins

Risk Ref: 1759

Medium

14

Cause *Insufficient funds to effectively fund capital for project.*

Consequence *Fail to meet vision for community benefit.*

Controls

Planning Strategy
CYC capital programme
Other external funding sources

Owner

Tim Atkins
Tim Atkins
Tim Atkins

Actions

Undertake S106 discussions to assess available capital-finalise development appraisals.
Assess alternative commercial components.
Develop prioritised specification for cost - quality reduction.

Target Date

31/01/2011
28/02/2011
28/02/2011

Revised Date

28/02/2011

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 skills and knowledge

Risk Owner: Ian Graham **Risk Ref: 1769** **High** 19

Cause *The programme may not have the required skills and knowledge at the relevant time as a result of inadequate resource planning. The programme needs to ensure that resources with the right skills are recruited in order to up skill the programme.*

Consequence *A lack of 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

Project management (Prince2) and programme management (MSP) training to be provided.

Target Date **Revised Date**

31/12/2010 21/03/2011

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

Target Date **Revised Date**

15/10/2010 04/02/2011
 15/10/2010 04/02/2011

Programme - Ineffective communications with staff

Risk Owner: Ian Graham

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

Communications training for workstream leads

Target Date

28/02/2011

Revised Date

Programme - Customer Organisations

Risk Owner: Ian Graham

Risk Ref: 1838

Medium

13

Cause Some customer groups may object to individual proposals.

Consequence Possible reputational damage and negative public perception of the More for York Programme or CYC services.

Controls

EIAs accompanied by customer engagement
Workstream comms plans and stakeholder matrix to identify and address potential customer issues.
Resource from Programme Office to co-ordinate EIAs between programme and Equalities team

Owner

Phil Davidson
Phil Davidson

Bethan Portlock

Actions

Programme Office and Equalities decide which EIAs should go to EIA Fair and SERG for consultation and input.
Planning to attend EIA fair in February 2011
More for York SERG event to be held on 17th Feb

Individual workstreams consult particular customer base as required

Target Date

30/11/2010
30/11/2010
14/12/2010
14/12/2010

Revised Date

31/01/2011
14/02/2011
17/02/2011
28/02/2011

Programme - Cultural resistance to changes proposed by the programme

Risk Owner: Ian Graham

Risk Ref: 1795

Medium

12

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

Yoreka boards to be placed in service areas.

Target Date

01/11/2010

Revised Date

28/02/2011

Programme - Management and Communications

Risk Owner: Ian Graham

Risk Ref: 1837

Medium

12

Cause *Failure to engage all stakeholders.*

Consequence *Programme may encounter resistance to proposals after time and money has already been committed. This may also result in an impact to the reputation of the Programme and CYC.*

Controls

Workstream stakeholder matrix
Robust Programme management and governance arrangements
Development of More for York Newsletter
Comms discussed at workstream review meetings

Owner

Phil Davidson
Phil Davidson
Charlotte Jennings
Phil Davidson

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

31/03/2011

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 0021 Corporate Performance Management Framework

Corporate Lead Kersten England

The council has a duty to provide value for money services to meet the needs of the citizens in York and to be accountable to local people where this is not achieved. Failure to effectively manage the council's performance could impact adversely on the council's reputation both at a local and national level. As such the council's corporate performance management framework must be robust and provide a level of assurance which enables both officers and Elected Members to make informed decisions

Office of the Chief Executive

Ensuring we get commitment and support from Partnerships for a city-wide hub

Risk Owner: Marilyn Summers

Risk Ref: 1819

Medium

14

Cause *The new performance framework needs to be city-wide to ensure it is effective at delivering joined up intelligence and supporting more integrated improvement.*

Consequence *Less data/information will be available in the intelligence hub and we may fail to properly integrate the big partners into the system (e.g. PCT & NY Police)*

Controls

Papers and regular updates to LSP & WoW-EDB
Regular task & finish meetings with SCS refresh and business planning workstreams

Owner

Peter Lowe
Peter Lowe

Actions

Review 'challenge' part of new PMF

Target Date

18/02/2011

Revised Date

Ensure both local and national data requirements are incorporated into hub

29/04/2011

Implementing a new PMF at the same time as restructures, blueprints & major changes to govt framework

Risk Owner: Peter Lowe

Risk Ref: 1859

Medium

13

Cause *It can be difficult to consult on PMF requirements and data intelligence whilst key staff and stakeholders are going through restructures and blueprint exercises. The government are also drip-feeding changes to the performance framework and the replacement of the CAA with a sector-led self assessment framework.*

Consequence *It's similar to trying to bake a cake without knowing all the ingredients. If we do not keep up with changes or ensure that proposed PMF and intelligence hub changes do not feed into restructures and blueprints, the final result could be a disjointed or out-of-date city-wide PMF.*

Controls

Regular papers and updates to OCE DMT and directorate management team

Owner

Peter Lowe

Actions

Integrated project plan

Target Date

21/12/2010

Revised Date

11/02/2011

Geographic Information System (GIS)

Risk Owner: Simon Lutman

Risk Ref: 1861

Medium

13

Cause *The role of GIS across the council needs to be reviewed over the next 6 months to ensure it can support all requirements (e.g. operational / IT maintenance / business intelligence).*

Consequence

- 1. GIS data management & ownership could become fragmented and uncoordinated.*
- 2. Other systems or applications that rely on central GIS support could be compromised.*
- 3. GIS packages and website could have a lot of down-time if not maintained properly.*
- 4. The business intelligence hub requires geo codes and mapping to ensure profiling and mash-ups are developed and accessible.*

Controls

Simon Lutman now member of BI Hub architecture project team

Owner

Peter Lowe

Actions

Building GIS requirements into the BI Hub early on

Target Date

16/12/2010

Revised Date

11/02/2011

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 revenue budgets by approximately 28% and a 45% reduction in capital funding over the next 4 years

Risk Owner: Keith Best

Risk Ref: 1806

High

19

Cause Reductions of approximately 28% in local government revenue funding and 45% capital funding over the next 4 years as announced in the CSR. The specific impact for York is yet to be determined.

Consequence The council will 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 Following the CSR announcement, further details are required to assess the impact for York. 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

Financial Services

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

Strategic Planning 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

Actions

Regularly review current status of several initiatives

Target Date

25/10/2011

Revised Date