

**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  
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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

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  
 Engagement with regional partners via local resilience forum

#### Owner

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

### 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  
 A BC Lead for every Directorate and Department has been put in place

#### Owner

John Wray  
 John Wray  
 John Wray  
 John Wray

# 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

31/08/2011

Progress scheme through new bidding process. Submit Best and Final Funding Bid by 9 September 2011

31/03/2011

09/09/2011

## 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.- e.g. 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

31/07/2011

Review risk status once archaeology is complete

30/06/2011

31/07/2011

## 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. This risk remains valid until the end of the project.*

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 and the conditions attached to the planning approval  
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

30/09/2011

## 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

### Target Date

28/02/2011

### Revised Date

29/07/2011

Soft market test another developer-partner

30/04/2011

31/08/2011

## 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 in order to ensure that any change to service provision is aligned to the council's key priorities.*

### 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  
 A19 Roundabout Extension  
 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