

KCR 0010 Emergency Planning & Business Continuity

Corporate Lead Sally Burns & Steve Waddington

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 & Environmental Services

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

Risk Owner: Steve Waddington

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 reviewed and updated at least annually
 CYC Emergency Handbook
 Engagement with regional partners via local resilience forum

Owner

Steve Waddington
 Steve Waddington
 Steve Waddington
 Steve Waddington
 Steve Waddington
 Jim Breen
 Steve Waddington

Inability to continue to deliver services following a business disruption event

Risk Owner: Steve Waddington

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

Jim Breen
 Jim Breen
 Jim Breen
 Jim Breen

Adults, Children & Education

Failure to deliver essential services in an emergency

Risk Owner: Sally Rees

Risk Ref: 0612

High

18

Cause *Lack of Business Continuity Plans*

Consequence

Within ACE this is particularly important because of the statutory responsibilities to protect vulnerable people and prevent homelessness.

The Council has a duty to ensure the continuity of its services to residents and customers. Business Continuity Plans should act as mitigating controls capable of reducing the impact of specific risks such as fire, flood or loss of staff. The lack of these plans reduces the Council's ability to respond and increases the level of exposure to associated reputational damage.

Controls

BIA's completed in all key sites.
Flu Plan developed and tested
BCP for each service division

Owner

Graham Terry
Kathy Clark
Kathy Clark

Inability to deliver services

Risk Owner: Sally Rees

Risk Ref: 0966

High

18

Cause *Key risk is potential loss of school through fire or asbestos.*

Consequence

Short term loss of service whilst temporary provision is made on the site or students redirected to other schools.

Controls

DMT emergency response

Owner

Sally Rees

KCR 0014 Equal Pay

Corporate Lead Ian Floyd

The Council is in receipt of a number of equal pay claims from individual employees, all of which relate to the legality of the Council's pay and grading arrangements prior to 1st April 2008 when new arrangements were introduced. The claims all concern the bonus schemes which were in place at the time and claim the schemes were discriminatory on the grounds of sex under the Equal Pay Act. The claims and any potential liabilities are being managed by a multi disciplinary group, led by HR.

Corporate

New claims are brought against the council

Risk Owner: Pauline Stuchfield

Risk Ref: 1703

High

18

Cause *The council will continue to be exposed to new claims for a period of six years after the withdrawal of any bonus scheme.*

Consequence *There could be significant on-going costs associated with settling these claims.*

Controls

Memorandum of understanding
Negotiation group with Trade Unions
Removal of bonus schemes
Constant monitoring of the situation and continued dialogue with trade unions

Owner

Pauline Stuchfield
Pauline Stuchfield
Pauline Stuchfield
Pauline Stuchfield

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 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.

Customer & Business Support Services

Customers & People

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
Complete Equality Impact Assessments (EIAs)

Owner

Pauline Stuchfield
Pauline Stuchfield

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
Provide ongoing staff & member training in equality and human rights
Ensure officers understand and follow the corporate equality system and standards
Implementation of directorate equality schemes and monitoring by Directorate Management Teams
Equality Impact Assessments (EIAs) are undertaken and monitored

Owner

Mary Bailey
Directorate Management Teams
Mary Bailey
Mary Bailey
Mary Bailey
Mary Bailey

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

Equality Impact Assessments (EIAs) are undertaken and monitored

Owner

Directorate Management

Teams

Mary Bailey

Vulnerable staff are bullied, harassed and feel excluded

Risk Owner: Ian Floyd

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

Monitoring through service planning and PDRs

Owner

Pauline Stuchfield

Pauline Stuchfield

Corporate Lead Ian Floyd & Tracey Carter

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 & Environmental Services

Community Stadium

Financial contribution from tenant clubs

Risk Owner: Tim Atkins

Risk Ref: 1964

High

19

Cause Sign off of match day agreements to be legally binding

Consequence

Achievement of the affordability target would remain a threat until these are legally binding.

Controls

- Agree terms with both clubs so bidders have certainty of base line rental positions
- Ensure rental agreements are affordable for both Clubs
- Structure agreements to have realistic upside mechanisms

Owner

- Tim Atkins
- Tim Atkins
- Tim Atkins

Actions

- Project Team in advanced discussions regarding detailed Match-day agreements for stadium occupation
- Bidders to agree terms of MDA as part of procurement
- Uplift mechanism to be agreed for both clubs.

Target Date

Revised Date

Corporate Lead Paul Edmondson-Jones

This is a long term piece of work which has been initiated by a scoping report to CMT in relation to the impact on the council of the current demographic. The key issues, impacts and risks will need to be managed by the council as a whole in the coming years.

Adults, Children & Education

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.*

Controls

Additional central government funding in 2011-12 to come via PCT
Decision to procure a double capacity Re-ablement service.
Review of EPH's
White Paper produced in July 2012
Whole System approach at Health & Wellbeing Board
Strong engagement with Clinical Commissioning Group
North Yorkshire and York Review supporting whole system funding realignment toward community based support.

Owner

Graham Terry
Graham Terry
Graham Terry
Graham Terry
Graham Terry
Graham Terry

Actions

Older Peoples Accommodation review

Target Date

30/06/2011

Revised Date

30/04/2014

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

Risk Owner: Graham Terry

Risk Ref: 1714

High

18

Cause *The Ageing Population Review has been completed and actions are being embedded in Directorates. If Directorates and Corporately we fail to give these actions the necessary priority and do not continue to respond to the changing needs of older people this will become a risk.*

Consequence *We must continue to build on our understanding of our response required to meet the demands of an ageing population. If we do not, this could lead to reputational damage and older people becoming disengaged with the council and broader social issues.*

Controls

Ageing well studies – Certificated course completed, evaluation tbc by organisers
Partnership working underway to establish York as a dementia friendly city

Owner

Graham Terry
Graham Terry

Corporate Lead Sally Rees

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

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

Owner

Monitoring of referral arrangements

Eoin Rush

Implementation of comprehensive safeguarding children training programme

Eoin Rush

CYSCB Serious Cases group independently chaired with a greater focus on dissemination of lessons learned

Eoin Rush

Routine multi-agency case file auditing process initiated

Eoin Rush

Inspection Feedback - Monitoring group established

Eoin Rush

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.

Customer & Business Support Services

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

Risk Owner: Ian Floyd

Risk Ref: 1806

Critical 23

Cause *Reductions of approximately 28% in local government revenue funding and 45% capital funding to 2014/15 as announced in the CSR.*

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

Controls

Owner

Long term financial planning to identify funding gaps	Ian Floyd
Promote a challenge system amongst officers to identify savings or areas for review	Ian Floyd
Structured approach to identification of saving	Ian Floyd
Effective process to monitor progress of the savings programme.	Ian Floyd

Savings identified beyond 2011/12 are not achieved

Risk Owner: Ian Floyd

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 may not be achieved.*

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

Controls

Owner

Regular communication and consultation	Ian Floyd
Identify potential savings in excess of current target	Ian Floyd
Structured and planned approach to budget planning	Ian Floyd

City & Environmental Services

Transport, Highways & Waste

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

Risk Owner: Frances Adams

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
Intelligent Travel York funded through DfT
Bid for further funding

Owner

Frances Adams
Frances Adams
Frances Adams
Frances Adams

Actions

Regularly review current status of several initiatives

Target Date

25/10/2011

Revised Date

25/10/2015

Adults, Children & Education

Inability to deliver the financial strategy and make savings within ACE

Risk Owner: Sally Rees

Risk Ref: 1867

High

19

Cause *The scale of the delivery challenge is unparalleled and will stretch leadership, project management and support service capacity. Another factor affecting this risk is how it is subject to secondary political decision-making due to targets having been agreed in advance of identifying the final and full delivery methods.*

Consequence *Lack of delivery has significant implications for the blancing of the corporate budget. A key concern to address, in delivering the transformation programme, is doing so without experiencing any destabilisation within existing high risk services such as Safeguarding.*

Controls

Monthly and quarterly monitoring reports
Enhanced governance arrangements for delivery of savings programme
DMT member leadership of each key project
Project board arrangements established
Programme built on previous work
Strong consultation with staff and unions in place

Owner

Sally Rees
Sally Rees
Sally Rees
Sally Rees
Sally Rees
Sally Rees