KCR 1 FINANCIAL PRESSURES: The ongoing government funding cuts will continue to have an impact on Council services. Over the course of the last 4 years there has been a substantial reduction in government grants leading to significant financial savings delivered. The expectation is that £16m savings will be required over the years 17/18 to 19/20. The council needs a structured and strategic approach to deliver the savings in order to ensure that any change to service provision is aligned to the council's key priorities. In addition other partner organisations are facing financial pressures.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Reduction in government grants leading to the necessity to make savings Increased service demand and costs (for example an aging population). **NEW** – Financial pressures on other partners that impact on the Council	Potential major implications on service delivery Impacts on vulnerable people Spending exceeds available budget	Probable	Major (20)	Regular budget monitoring Effective medium term planning and forecasting Chief finance officer statutory assessment of balanced budget Regular communications on budget strategy and options with senior management and politicians Skilled and resourced finance function, supported by managers with financial awareness Efficiency Plan agreed by Executive June 2016 Financial Strategy 2017/18 approved	Possible	Moderate (14)	No change	Development of budget strategy for 2018-19 (Ian Floyd, 31/01/2018)

KCR 2 GOVERNANCE: Failure to ensure key governance frameworks are fit for purpose. With the current scale and pace of transformation taking place throughout the organisation it is now more important than ever that the council ensures that its key governance frameworks are strong particularly those around information governance, transparency and health and safety.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Increased interactions in relation to FOI and transparency

Failure to comply with information security policy

Serious breach of health and safety legislation | Breach of Data Protection Act and other non compliance

Fines levied by Information Commissioner

Impact on the end user/customer

Public safety may be put at risk

Further incidents occur

Adverse media coverage

Reputational impact | Probable | Major (20) | Electronic Communication Policy

IT security systems in place

Governance and Assurance Group (GRAG)

Secure paper storage and confidential waste disposal available in office accommodation

Ongoing Internal Audit review of information security

Health and Safety monitoring by CMT and DMTs

Regular monitoring reports to Audit & Governance committee and Executive Member decision sessions

NEW - Open Data platform providing Freedom of Information (FOI) requested data

NEW - Regular review of transparency code legislation and compliance | Possible | Major (19) | No change in score but new controls and action are added | Ongoing Action - Health and Safety training programmes at all levels (Ian Floyd, 31/03/2018)

Revise media and social media protocols (Ian Floyd, 30/06/2017)

NEW - Ongoing Action: regular review of internal audit reviews and recommendations (Ian Floyd 31/03/18) |

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				NEW - Ongoing management of data architecture to provide de-personalised data to open data platform				

KCR 3 EFFECTIVE AND STRONG PARTNERSHIPS: Failure to ensure governance and monitoring frameworks of partnership arrangements are fit for purpose to effectively deliver outcomes. In order to continue to deliver some services the council will have to enter into partnerships with a multitude of different organisations whether they are third sector or commercial entities. There needs to be robust, clear governance arrangements in place for these partnerships as well as performance monitoring arrangements to ensure delivery of the objectives.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Failure to effectively monitor and manage partnerships, and Council owned organisations Partner (especially NHS, Academies) financial pressures may effect outcomes **NEW** - Unilateral decisions made by key partners may effect CYC budgets or services	Key partnerships fail to deliver or break down Ability to deliver transformation priorities undermined Adverse impact on service delivery Funding implications Reputational impact	Probable	Major (20)	**NEW** - Creating Resilient Communities Working Group (CRCWG) **NEW** – Account management approach to monitoring key partnerships **NEW** – Safeguarding Board revised governance in place **NEW** – Shareholder Committee to monitor Council owned companies **NEW** - York Central Partnership	Possible	Moderate (14)	No change in score but new controls are added	Ongoing action - Monitoring of controls (CMT, 31/03/2018)

KCR 4 CHANGING DEMOGRAPHICS: **Inability to meet statutory deadlines due to changes in demographics.** York has a rapidly changing demographic in relation to both residents and business. This brings with it significant challenges particularly in the delivery of adult social care and children's services. There has also been significant migration and as such the council needs to ensure that community impacts are planned for and resourced.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Baby boom impact on schools Inward migration to York Development and regeneration makes York more desirable and accessible to residents and business An aging population requiring services from the council placing significant financial and delivery challenges Increased ethnic diversity Growing SEN - in particular autism Popularity of universities Increase in complexity of needs as people get older Increase in people living with dementia Demographic of workforce unable to meet demand	Increased service demand from residents; school placements, SEN, emotional mental health, adult social care and environmental services (eg waste collection) **NEW** – Increased service demand in relation to business (eg Regulation, Planning) Impact on reducing budgets and resources Statutory school places have to be found Rise in delayed discharges Impact on service users Reputational impact Insufficient capacity for workload - need right people in the right place	Probable	Major (20)	Analysis of need and work around options Stakeholder and officer group DfE returns Inclusion review Caseload monitoring Local area working restructures in frontline services, including Early intervention initiatives and better self-care Place planning strategy in place School population reported every 6 months Direct access to support and services Investment in support brokerage work with NHS integrated commissioning **NEW** - Creating Resilient Communities Working Group (CRCWG)	Possible	Major (19)	No change in score but new control and action are added	Ongoing Action - Ensure adequate supply of schools places (CYC Place Planning Strategy, Governance Structure) (Jon Stonehouse, 31/03/2018) Redesign and implement new arrangements for early intervention and prevention (Jon Stonehouse, 31/12/2017) Assessment and care management Review (Martin Farran, 31/12/2018) Advise and Information Strategy and Action Plan (Martin Farran, 31/12/2018) **NEW** – Undertake a review to link the Local Plan and Major

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
NEW - Failure to plan for the impact of a rapid change in demographics to front line service provision								development projects to demographic data to determine the impact on all CYC services <mark>(CMT, 31/03/18)</mark>

KCR 5 SAFEGUARDING: A vulnerable child or adult with care and support needs is not protected from harm. Ensuring that vulnerable adults and children in the city are safe and protected is a key priority for the council. The individual, organisational and reputational implications of ineffective safeguarding practice are acute.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Failure to protect a child or vulnerable adult from death or serious harm (where service failure is a factor)	Vulnerable person not protected Children's serious case review or lessons learned exercise Safeguarding adults review Reputational damage Serious security risk	Probable	Major (20)	Safeguarding sub groups Multi agency policies and procedures Specialist safeguarding cross sector training Quantitative and qualitative performance management Reporting and governance to lead Member, Chief Executive and Scrutiny Annual self assessment, peer challenge and regulation Audit by Veritau of Safeguarding Adults processes Children's and Adults Safeguarding Boards (LSCB & ASB) Ongoing inspection preparation & peer challenge National Prevent process DBS checks and re-checks Effectively resourced and well managed service Safeguarding Board annual plan	Possible	Major (19)	No change in score but new controls and action are added	Restructure Children's Social Care Services (Jon Stonehouse, 30/09/2017) New Children's Social Care records system (Jon Stonehouse, 30/09/2017) Safeguarding Board annual action plan 2018/19 (Martin Farran, 31/03/2018) **NEW** - Community Safety Plan (Martin Farran 31/07/17)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				2017/18 and Strategic Plan to 2019/20 are approved **NEW** – Controls implemented from peer review action plan **NEW** – CORAG (Chief Officer Reference and Accountability Group) which brings together Chief Officers from relevant organisations in relation to safeguarding eg police, CYC				

KCR 6 HEALTH AND WELLBEING: **Failure of Health and Wellbeing Board to deliver outcomes, resulting in the health and wellbeing of communities being adversely affected.** The Council has the responsibility for the provision of public health services. The Health & Wellbeing Board, brings together local organisations to work in partnership to improve outcomes for the communities in which they work. Poor governance or financial pressures (partners or Council) may lead to failure to adequately perform these functions, resulting in the health and wellbeing of communities being adversely affected.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Outcomes may be difficult to evidence due to longevity Lack of resources: numbers and/or specialist skills Other Council priorities may result in less focus on Health and Wellbeing outcomes Failure to deliver Health and Wellbeing responsibilities Failure to integrate Public Health outcomes Reliance on partners outside of the council's control Partner (eg NHS) financial pressures may effect outcomes	Health and wellbeing of the community adversely affected Key objectives are not delivered Reputational damage	Probable	Major (20)	The Council have oversight of the Health and Wellbeing Board, which own the Health & Wellbeing strategy and receives reports on progress. The Health & Wellbeing Board has approved a new 5 year joint strategy for the period 2017-21, including a joint strategic needs assessment A governance structure is in place for delivery of the Health & Wellbeing strategy. **NEW** - Development sessions delivered by the Local Government Association (LGA) **NEW** – Improved workforce awareness of Health & Wellbeing Strategy **NEW** – One Planet York's better decision making tool to assist with the Integration of the Health & Wellbeing Agenda in relation to all Council service areas and external organisations **NEW** – Restructured Healthy Child Service	Possible	Moderate (14)	No change in score but new controls are added	Develop a Performance Management Framework for monitoring of outcomes. (Sharon Stoltz, Jon Stonehouse, Martin Farran 30/09/2017)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				NEW – Public Health is a statutory requirement of the Council				

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KCR 7 CAPITAL PROGRAMME: Failure to deliver the Capital Programme, which includes high profile projects. The capital programme currently has approximately 85 schemes with a budget of £215m from 2017/18 to 2021/22. The schemes range in size and complexity but are currently looking to deliver two very high profile projects, the Community Stadium and York Central, which are key developments for the city.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Complex projects with inherent risks Large capital programme being managed with reduced resources across the Council	Additional costs and delays to delivery of projects The benefits to the community are not realised Reputational Damage	Probable	Major (20)	Project boards and project plans Regular monitoring of schemes Capital programme reporting to Executive and A&G Financial, legal and procurement support included within the capital budget for specialist support skills Revised Project Management Framework Capital Strategy 2017/18 to 2021/22 approved in Feb 2017 Additional resource approved to support project management	Possible	Moderate (14)	No change	Development of capital strategy for 2018-19 (Ian Floyd, 31/01/2018)

KCR 8 LOCAL PLAN: Failure to develop a Local Plan could result in York losing its power to make planning decisions and potential loss of funding. The council has a statutory duty to develop a Local Plan, a city wide plan, which helps shape the future development in York over the next 20 years. It sets out the opportunities and policies on what will or will not be permitted and where, including new homes and businesses. The Local Plan is a critical part of helping to grow York's economy, create more job opportunities and address our increasing population needs.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Fail to adopt and agree a Local Plan Local Plan adoption process delayed Significant opposition to the plan that may impede its progression	Significant negative impact on the council's strategic economic goals Council continues to have no adopted development plan/framework Legal and probity issues Reputational damage Increased resources required to deal with likely significant increase in planning appeals Development processes and decision making is slowed down Widespread public concern and opposition Inability to maximise planning gain from investment Adverse impact on investment in the city Unplanned planning does not meet the authority's	Probable	Major (20)	Develop strategy for cross party working on long term strategic issues CMT and DMT to work closely with key Members on Local Plan issues Proactive communication strategy Effective programme and project management to ensure timescales and milestones are met Effective project resourcing Continued close liaison with neighbouring authorities Continued close liaison with DCLG, Planning Advisory Services and Planning Inspectorate	Possible	Major (19)	No change in score but new action is added	Ongoing action - Monitoring of controls (Mike Slater, 31/03/2018) NEW - Update report to Executive in July 2017 (Mike Slater, 30/06/2017)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
	aspirations of the city Ongoing costs of the preparation of the Local Plan Potential loss of funding if Plan is not approved							

KCR 9 COMMUNITIES: Failure to ensure we have resilient, cohesive, communities who are empowered and able to shape and deliver services. The council needs to engage in meaningful consultation with communities to ensure decisions taken reflect the needs of residents, whilst encouraging them to be empowered to deliver services that the council is no longer able to do. Failing to do this effectively would mean that services are not delivered to the benefit of those communities or in partnership.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Failure to effectively engage with the communities we serve Failure to contribute to the delivery of safe communities Failure to effectively engage stakeholders (including Members and CYC staff) in the decision making process Failure to manage expectations Communities are not willing/able to fill gaps following withdrawal of CYC services **NEW** - Lack of cohesion in the planning and use of CYC and partner community based assets in the city	Lack of buy in and understanding from stakeholders Alienation and disengagement of the community Relationships with strategic partners damaged Impact on community wellbeing Services brought back under council provision – reputational and financial implications Budget overspend Create inefficiencies Services not provided **NEW** - Poor quality provision not focused on need, potential duplication, ineffective use of resources, difficulty in commissioning community services e.g. Library services	Probable	Major (20)	Creating Resilient Communities Working Group (CRCWG) New service delivery models **NEW** - Revised Community Safety Plan **NEW** – Devolved budgets to Ward Committees and delivery of local action plans through ward teams **NEW** - Local area working restructures for Children's, Adults and Housing Services **NEW** – Improved information and advice, Customer Strategy and ICT support to facilitate self service **NEW** – CYC Staff and Member training and development	Possible	Major (19)	No change in score but new controls are added	Develop a Community Engagement Strategy (Jon Stonehouse, 30/09/2017)

ANNEX A
KEY CORPORATE RISK REGISTER AT JUNE 2017

KCR 10 WORKFORCE/ CAPACITY: Reduction in workforce/ capacity may lead to a risk in service delivery. It is crucial that the council remains able to retain essential skills and also to be able to recruit to posts where necessary, during the current periods of uncertainty caused by the current financial climate and transformational change. The health, wellbeing and motivation of the workforce is therefore key in addition to skills and capacity to deliver.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
The necessity to deliver savings has resulted in a reduced workforce requiring new and specialist skills Recruitment and retention difficulties as the council may be seen as a less attractive option than the private sector Lack of succession planning **NEW** – HR Policies may not be consistent with new ways of working (eg remuneration policy)	Increased workloads for staff Impact on morale and as a result, staff turnover Inability to maintain service standards Impact on vulnerable customer groups Reputational damage Single points of failure throughout the business	Probable	Major (20)	Workforce Strategy/ People Plan Stress Risk Assessments PDRs Comprehensive Occupational Health provision including counseling HR policies e.g. whistleblowing, dignity at work **NEW**- Development of coaching/ mentoring culture to improve engagement with staff **NEW**- Corporate Cost Control Group monitoring of absence and performance reporting **NEW**- Apprenticeship task group **NEW** – Agency and Interim Staffing Policies	Possible	Moderate (14)	No change in score but new controls and action are added	Develop a comprehensive health and wellbeing policy consolidating all current and planned actions. (Sharon Stoltz, 31/03/2018) **NEW** – Ongoing action: Review of HR policies to ensure they compliment the new ways of working in the future (Ian Floyd 31/03/18)

NEW - KCR 11 EXTERNAL MARKET CONDITIONS: Failure to deliver commissioned services due to external market conditions.
The financial pressures experienced by contracted services (in particular Adult Social Care providers) as a result of increases to the living wage could put the continued operation of some providers at risk. The Council has a duty to ensure that there is a stable/diverse market for social care services delivery to meet the assessed needs of vulnerable adults/children.
Some services provided by the Council cannot be provided internally (eg Park and Ride) and must be commissioned. External market conditions such as the number of providers willing to tender for services may affect the Council's abilty to deliver the service within budget constraints.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Increases to the national living wage. Recruitment and retention of staff If failure occurs, the Council may remain responsible for ensuring the needs of those receiving the service continue uninterrupted.	Vulnerable people do not get the services required or experience disruption in service provision Safeguarding risks Financial implications: Increased cost of alternative provider Increased cost if number of providers are limited Reputational damage	Unlikely	Major (18)	Clear contract and procurement measures in place Ongoing review of operating and business models of all key providers CYC investment in extra care OPHs has reduced recruitment pressure Revised SLA with independent care group and quarterly monitoring meetings with portfolio holder Increase in homecare fees to reflect actual cost of care Local policies in place for provider failure	Unlikely	Moderate (13)	New Risk	Ongoing action: Ongoing attendance at Independent Care Group Provider Conference (Martin Farran 31/03/18)