KCR 01 Financial Pressures

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 £10million annually will be required in future years. 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.

Risk: Financial Pressures

Risk Owner: Ian Floyd

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Reduction in government grants leading to the necessity to make savings*
- *Increased service demand and costs (for example an aging population).*

Consequence

- *Potential major implications on service delivery*
- *Impacts on vulnerable people*
- *Spending exceeds available budget*

Controls	Owner
Regular budget monitoring	
Two year budget cycles and effective medium term planning and forecasting	Ian Floyd
Chief finance officer statutory assessment of balanced budget	Ian Floyd
Regular communications on budget strategy and options with senior management and politicians	Ian Floyd
Skilled and resourced finance function, supported by managers with financial awareness	Ian Floyd

Net Risk Rating: Medium **14**

Net Risk Likelihood: Possible

Net Risk Impact: Moderate

Actions	Target Date	Revised Date
Development of a new Medium term plan after May elections	31/03/2016	

Comments:

KCR 02 Governance

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 including those around information governance and transparency.

Risk: Governance

Risk Owner: Ian Floyd

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Member/Officer relations may not be effective*
- *Increased interactions in relation to FOI and transparency*
- *Failure to comply with information security policy*

Consequence

- *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*

Controls	Owner
Electronic Communication Policy	Ian Floyd
IT security systems in place	Ian Floyd
Corporate Information Governance Group	Ian Floyd
Secure paper storage and confidential waste disposal available in office accommodation	Ian Floyd
Internal Audit reviewing information security	Ian Floyd
New Head of Health and Safety	Pauline Stuchfield
Health and Safety monitoring by CMT and DMTs	Pauline Stuchfield
Regular monitoring to Audit & Governance committee	Ian Floyd
New governance structure	Andrew Docherty

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Actions	Target Date	Revised Date
Review of Health and Safety governance frameworks	30/09/2015	
Health and Safety training programmes at all levels	31/03/2016	

Comments:

KCR 03 Transformation/rewiring

Delivering the objectives set for the transformation programme moving from the existing model to the desired outcome, will require looking at innovative ways of meeting business objectives and service delivery going forward whilst ensuring that services continue to be delivered effectively whilst the work is ongoing.

Risk: Transformation/Rewiring

Risk Owner: Stewart Halliday

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Ineffective programme management*
- *Failure to engage with the community on the changes required*
- *Failure to support and manage change effectively*

Consequence

- *Adverse impact on service delivery*
- *Fail to meet the needs of vulnerable people*
- *Unable to lower the cost base*
- *Opportunities missed*
- *Reputational impact*

Controls	Owner
Effective engagement activity	Stewart Halliday
Detailed business cases	Stewart Halliday
Programme governance	Stewart Halliday

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Actions	Target Date	Revised Date
Ongoing monitoring	31/03/2016	
Fuller consultation and engagement	31/03/2016	

Comments:

KCR 04 Changing demographics

York has a rapidly changing demographic and this brings with it significant challenges particularly in the delivery of adult social care. On the converse, the results of the recent baby boom will have a future impact on school places and services not to mention social care. There has also been significant inward migration and as such the council needs to ensure that community impacts are planned for and resourced.

Risk: Inability to meet statutory duties due to changes in demographics

Risk Owner: Jon Stonehouse & Martin Farran

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Baby boom coming through*
- *Inward migration*
- *Development and regeneration makes York more desirable and accessible*
- *An aging population requiring services from the council placing significant financial and delivery challenges*
- *Increased ethnicity*
- *Growning 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*

Consequence

- *Increased service demand; school placements, SEN, emotional mental health*
- *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*

Controls	Owner
Analysis of need and work around options	Jon Stonehouse
Stakeholder and officer group	Jon Stonehouse
DfE returns	Jon Stonehouse
Inclusion review	Jon Stonehouse
Caseload monitoring	Jon Stonehouse
Early intervention initiatives and better self-care	Michael Melvin
Place planning strategy in place	Jon Stonehouse
School population reported every 6 months	Jon Stonehouse

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Actions	Target Date	Revised Date
Ensure adequate supply of schools places (CYC Place Planning Strategy, Governance Structure)	01/09/2015	31/03/2017

Comments:

Guy Van Dichele left the council 07/08/2015. Martin Farran not in post until 15/09/2015.
Action dates have been revised following the risk session at CSES DMT on 9th July 2015, to reflect that the work is ongoing and has not yet been completed.

KCR 05 Safeguarding

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: A vulnerable child or adult with care and support needs is not protected from harm

Risk Owner:	Martin Farran & Jon Stonehouse

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Failure to comply with statutory duty*
- *Radicalisation of young people*

Consequence

- *Vulnerable person not protected*
- *Children's serious case review or lessons learned exercise*
- *Safeguarding adults review*
- *Reputational damage*
- *Serious security risk*

Controls	Owner
Safeguarding adults Board	Martin Farran
Safeguarding sub groups	Martin Farran
Multi agency policies and procedures	Martin Farran
Adults - Multi agency safeguarding hub (MASH)	Martin Farran
Specialist safeguarding cross sector training	Martin Farran
Quantitative and qualitative performance management	Jon Stonehouse
Reporting and governance to lead Member, Chief Executive and Scrutiny	Jon Stonehouse
Annual self assessment, peer challenge and regulation	Jon Stonehouse
Audit by Veritau of Safeguarding Adults processes	Michael Melvin
Children's Safeguarding Boards (LSCB & ASB)	Jon Stonehouse
Ongoing inspection preparation & peer challenge	Jon Stonehouse
National Prevent process	Jon Stonehouse
DBS checks and re-checks	Jon Stonehouse
Effectively resourced and well managed service	Jon Stonehouse

Net Risk Rating: Medium **14**

Net Risk Likelihood: Possible

Net Risk Impact: Moderate

Actions	Target Date	Revised Date
Re-write policies and procedures to ensure that they are Care Act compliant	31/03/2016	
Implementation of new multi-agency early help arrangements	01/11/2016	

Comments:

KCR 06 Workforce/Capacity

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: Workforce/capacity

Risk Owner: Ian Floyd

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *The necessity to deliver savings has resulted in a reduced workforce*
- *Recruitment and retention difficulties as the council is seen as a less attractive option than the private sector*
- *Lack of succession planning*
- *Single points of failure throughout the business*

Consequence

- *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*

Controls	Owner
Workforce Strategy	Pauline Stuchfield
Stress Risk Assessments	Pauline Stuchfield
PDRs	Pauline Stuchfield
Comprehensive Occupational Health provision including counselling	Pauline Stuchfield
HR policies e.g. whistleblowing, dignity at work	Pauline Stuchfield

Net Risk Rating: Medium **14**

Net Risk Likelihood: Possible

Net Risk Impact: Moderate

Actions	Target Date	Revised Date
Production of new workforce strategy	31/12/2015	
Ongoing Monitoring	01/01/2016	
Staff survey Sept 2015 and establish new action plans by 2016	01/01/2016	
Delivery of organisation development plan	31/03/2016	

Comments:

KCR 07 Health and Wellbeing

The council now has the responsibility for the provision of public health services and also for the formation of the Health & Wellbeing Board, which has the ambition to bring together local organisations to work in partnership to improve outcomes for the communities in which they work. Failure to adequately perform these functions could result in the health and wellbeing of communities being adversely affected.

Risk: Health and Wellbeing

Risk Owner: Sally Burns

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Outcomes may be difficult to evidence due to longevity*
- *Lack of resources: numbers and/or specialist skills*
- *Other priorities means 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*
- *Failure to take on board the new responsibility*

Consequence

- *Health and wellbeing of the community adversely affected*
- *Key objectives are not delivered*
- *Reputational damage*

Controls	Owner
Health and Wellbeing Board own the strategy and receives reports on progress	Sally Burns/Sharon Stoltz

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Actions	Target Date	Revised Date
Review of strategy and policy under way including delivery structure	31/01/2016	

Comments:

KCR 08 Local Plan

The council has a statutory duty to develop a Local Plan, a citywide plan, which helps shape 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, inc. 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. Failure to develop a suitable Plan could result in York losing its power to make planning decisions.

Risk: Local Plan

Risk Owner: Neil Ferris

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Fail to adopt and agree a Local Plan*
- *Local Plan adoption process delayed*
- *Significant opposition to the plan that may impede its progression*

Consequence

- *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 aspirations of the city*
- *Ongoing costs of the preparation of the Local Plan*

Controls	Owner
Develop strategy for cross party working on long term strategic issues	Neil Ferris
CMT and DMT to work closely with key Members on Local Plan issues	Neil Ferris
Proactive communication strategy	Neil Ferris
Effective programme and project management to ensure timescales and milestones are met	Neil Ferris
Effective project resourcing	Neil Ferris
Continued close liason with neighbouring authorities	Neil Ferris
Continued close liason with DCLG and Planning Inspectorate	Neil Ferris

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Actions	Target Date	Revised Date
Monitoring of controls	30/06/2015	31/03/2016

Comments:
Action date revised to reflect the ongoing nature of the activity.

KCR 09 Communities

The council needs to engage in meaningful consultation with communities to ensure decisions taken reflect the needs of the 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: Failure to ensure we have resilient, cohesive communities who are empowered and able to shape and deliver services

Risk Owner: Sally Burns

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Failure to effectively engage with the communities we serve*
- *Failure to contribute to the delivery of safe communities*
- *Failure to effectively engage stakeholders in the decision making process*
- *Failure to manage expectations*

Consequence

- *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*
- *Budget overspend*
- *Create inefficiencies*
- *Services not provided*

Controls	Owner
Proactive resource to engage management across the council	Sally Burns
Communication and consultation Strategy	Sally Burns

Net Risk Rating: High **19**

Net Risk Likelihood: Possible

Net Risk Impact: Major

Comments:

KCR 10 Effective and strong partnerships

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: Effective and strong partnerships

Risk Owner: Stewart Halliday

Gross Risk Rating: High **20**

Gross Risk Likelihood: Probable

Gross Risk Impact: Major

Cause

- *Failure to effectively monitor and manage partnerships*
- *Lack of centralised register of partnerships*

Consequence

- *Key partnerships fail to deliver of break down*
- *Ability to deliver transformation priorities undermined*
- *Adverse impact on service delivery*
- *Funding implications*
- *Reputational impact*

Controls	Owner
Partnership code of practice	Stewart Halliday

Net Risk Rating: Medium **14**

Net Risk Likelihood: Possible

Net Risk Impact: Moderate

Actions	Target Date	Revised Date
Publish, publicise and implement the CYC Partnership Code of Practice corporately	31/03/2015	31/12/2015

Comments:
Work to develop the CYC Partnership Code of Practice is currently underway and it is hoped that this may be delivered by the end of the calendar year, the action target date has been amended to reflect this.

KCR 11 Capital Programme

The capital programme currently has approximately 85 schemes with a budget of £203 million. 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: Capital Programme

Risk Owner: Ian Floyd

Gross Risk Rating: High **19**

Gross Risk Likelihood: Possible

Gross Risk Impact: Major

Cause

- *Inadequate monitoring/project management in relation to large capital projects*
- *Complex projects with inherent risks*
- *Large capital programme being managed with less resource*

Consequence

- *Additional costs and delays to delivery of projects*
- *The benefits to the community are not realised*
- *Reputational Damage*

Controls	Owner
Project boards and project plans	Ian Floyd
Regular monitoring of schemes	Ian Floyd
Capital programme reporting to Cabinet	Ian Floyd
Strong financial, legal and procurement support included within the capital budget for specialist support skills	Ian Floyd
Mazars review of the EPH project	Ian Floyd

Net Risk Rating: Medium **14**

Net Risk Likelihood: Possible

Net Risk Impact: Moderate

Actions	Target Date	Revised Date
Quarterly reports on major projects-capital programme to executive to be put in place		

Comments:

Risk Matrix

Annex A