

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 1 FINANCIAL PRESSURES: 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.

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).	Potential major implications on service delivery  Impacts on vulnerable people  Spending exceeds available budget	Probable	Major	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  <b>NEW</b> – Financial Strategy 2017/18 approved	Possible	Moderate	New control and action added	Development of budget strategy for 2017-18 (Ian Floyd, 31/01/2018) <b>ACTION COMPLETE</b>  <b>NEW</b> - Development of budget strategy for 2018-19 (Ian Floyd, 31/01/2018)

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**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
<p>Increased interactions in relation to FOI and transparency</p> <p>Failure to comply with information security policy</p> <p>Serious breach of health and safety legislation</p>	<p>Breach of Data Protection Act and other non compliance</p> <p>Fines levied by Information Commissioner</p> <p>Impact on the end user/customer</p> <p>Public safety may be put at risk</p> <p>Further incidents occur</p> <p>Adverse media coverage</p> <p>Reputational impact</p>	Probable	Major	<p>Electronic Communication Policy</p> <p>IT security systems in place</p> <p>Governance and Assurance Group (GRAG)</p> <p>Secure paper storage and confidential waste disposal available in office accommodation</p> <p>Internal Audit review of information security</p> <p>Health and Safety monitoring by CMT and DMTs</p> <p>Regular monitoring reports to Audit &amp; Governance committee and Executive Member decision sessions</p>	Possible	Major	New action added	<p>Health and Safety training programmes at all levels (Ian Floyd, 31/03/2017)</p> <p><b>ONGOING ACTION – deadline will extend to 31/3/2018</b></p> <p><b>NEW</b> – Revise media and social media protocols (Ian Floyd, 30/04/2017)</p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 3 CHANGING DEMOGRAPHICS: Inability to meet statutory deadlines due to changes in demographics.** York has a rapidly changing demographic and this brings with it significant challenges particularly in the delivery of adult social care. The recent baby boom will have a future impact on school places and 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
<p>Baby boom impact on schools</p> <p>Inward migration</p> <p>Development and regeneration makes York more desirable and accessible</p> <p>An aging population requiring services from the council placing significant financial and delivery challenges</p> <p>Increased ethnicity</p> <p>Growing SEN - in particular autism</p> <p>Popularity of universities</p> <p>Increase in complexity of needs as people get older</p> <p>Increase in people living with dementia</p> <p>Demographic of workforce unable to meet demand</p>	<p>Increased service demand; school placements, SEN, emotional mental health</p> <p>Impact on reducing budgets and resources</p> <p>Statutory school places have to be found</p> <p>Rise in delayed discharges</p> <p>Impact on service users</p> <p>Reputational impact</p> <p>Insufficient capacity for workload - need right people in the right place</p>	<p>Probable</p>	<p>Major</p>	<p>Analysis of need and work around options</p> <p>Stakeholder and officer group</p> <p>DfE returns</p> <p>Inclusion review</p> <p>Caseload monitoring</p> <p>Early intervention initiatives and better self-care</p> <p>Place planning strategy in place</p> <p>School population reported every 6 months</p> <p>Implementation of the Care Act 2014</p> <p>Direct access to support and services</p> <p>Investment in support brokerage work with NHS integrated commissioning</p>	<p>Possible</p>	<p>Major</p>		<p>Ensure adequate supply of schools places (CYC Place Planning Strategy, Governance Structure) (Jon Stonehouse, 31/03/2017) – <b>ONGOING ACTION – deadline will extend to 31/3/2018</b></p> <p>Redesign and implement new arrangements for early intervention and prevention (Jon Stonehouse, 31/12/2017)</p> <p>Assessment and care management Review (Martin Farran, 31/12/2016) <b>IN PROGRESS – deadline will extend to 31/12/18</b></p> <p>Advise and Information Strategy and Action Plan</p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
								(Martin Farran, 31/12/2016) <b>IN PROGRESS – deadline will extend to 31/3/18</b>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 4 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)	<p>Vulnerable person not protected</p> <p>Children's serious case review or lessons learned exercise</p> <p>Safeguarding adults review</p> <p>Reputational damage</p> <p>Serious security risk</p>	Probable	Major	<p>Safeguarding sub groups</p> <p>Multi agency policies and procedures</p> <p>Specialist safeguarding cross sector training</p> <p>Quantitative and qualitative performance management</p> <p>Reporting and governance to lead Member, Chief Executive and Scrutiny</p> <p>Annual self assessment, peer challenge and regulation</p> <p>Audit by Veritau of Safeguarding Adults processes</p> <p>Children's and Adults Safeguarding Boards (LSCB &amp; ASB)</p> <p>Ongoing inspection preparation &amp; peer challenge</p> <p>National Prevent process</p> <p>DBS checks and re-checks</p> <p>Effectively resourced and well managed service</p>	Possible	Major	New control and action added	<p>Restructure Children's Social Care Services (Jon Stonehouse, 30/09/2017)</p> <p>New Children's Social Care records system (Jon Stonehouse, 30/09/2017)</p> <p>Safeguarding Board action plan (Martin Farran, 31/03/2017)</p> <p><b>ACTION COMPLETE</b></p> <p><b>NEW</b> - Safeguarding Board annual action plan 2018/19 (Martin Farran, 31/03/2018)</p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				<b>NEW</b> – Safeguarding Board annual plan 2017/18 and Strategic Plan to 2019/20 are approved				

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 5 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
<p>Outcomes may be difficult to evidence due to longevity</p> <p>Lack of resources: numbers and/or specialist skills</p> <p>Other Council priorities may result in less focus on Health and Wellbeing outcomes</p> <p>Failure to deliver Health and Wellbeing responsibilities</p> <p>Failure to integrate Public Health outcomes</p> <p>Reliance on partners outside of the council's control</p> <p>Partner (eg NHS) financial pressures may effect outcomes</p>	<p>Health and wellbeing of the community adversely affected</p> <p>Key objectives are not delivered</p> <p>Reputational damage</p>	Probable	Major	<p>Health and Wellbeing Board own the strategy and receives reports on progress.</p> <p><b>NEW</b> - The Health &amp; Wellbeing Board has approved a new 5 year joint strategy for the period 2017-21</p> <p><b>NEW</b> - A revised governance structure has been put in place for delivery of the strategy.</p>	Possible	Moderate	New control and action added	<p>Review of Strategy and Policy under way including delivery structure. Sharon Stoltz, 31/03/2017) – <b>ACTION COMPLETE</b></p> <p><b>NEW</b> –Develop a Performance Management Framework for monitoring of outcomes. (Sharon Stoltz, 30/09/2017)</p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 6 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
<p>Complex projects with inherent risks</p> <p>Large capital programme being managed with reduced resources across the Council</p>	<p>Additional costs and delays to delivery of projects</p> <p>The benefits to the community are not realised</p> <p>Reputational Damage</p>	Probable	Major	<p>Project boards and project plans</p> <p>Regular monitoring of schemes</p> <p>Capital programme reporting to Executive and A&amp;G</p> <p>Financial, legal and procurement support included within the capital budget for specialist support skills</p> <p>Revised Project Management Framework</p> <p><b>NEW</b> – Capital Strategy 2017/18 to 2021/22 approved in Feb 2017</p> <p><b>NEW-</b> Additional resource approved to support project management</p>	Possible	Moderate	New controls and action added	<b>NEW</b> - Development of capital strategy for 2018-19 (Ian Floyd, 31/01/2018)

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 7 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
<p>Fail to adopt and agree a Local Plan</p> <p>Local Plan adoption process delayed</p> <p>Significant opposition to the plan that may impede its progression</p>	<p>Significant negative impact on the council's strategic economic goals</p> <p>Council continues to have no adopted development plan/framework</p> <p>Legal and probity issues</p> <p>Reputational damage</p> <p>Increased resources required to deal with likely significant increase in planning appeals</p> <p>Development processes and decision making is slowed down</p> <p>Widespread public concern and opposition</p> <p>Inability to maximise planning gain from investment</p> <p>Adverse impact on investment in the city</p> <p>Unplanned planning does not meet the authority's</p>	Probable	Major	<p>Develop strategy for cross party working on long term strategic issues</p> <p>CMT and DMT to work closely with key Members on Local Plan issues</p> <p>Proactive communication strategy</p> <p>Effective programme and project management to ensure timescales and milestones are met</p> <p>Effective project resourcing</p> <p>Continued close liaison with neighbouring authorities</p> <p>Continued close liaison with DCLG and Planning Inspectorate</p>	Possible	Major		<p>Monitoring of controls (Mike Slater, 31/03/2017)</p> <p><b>ONGOING ACTION – deadline will extend to 31/3/2018</b></p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

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							

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 8 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
<p>Failure to effectively engage with the communities we serve</p> <p>Failure to contribute to the delivery of safe communities</p> <p>Failure to effectively engage stakeholders in the decision making process</p> <p>Failure to manage expectations</p> <p>Communities are not willing/able to fill gaps following withdrawal of CYC services</p>	<p>Lack of buy in and understanding from stakeholders</p> <p>Alienation and disengagement of the community</p> <p>Relationships with strategic partners damaged</p> <p>Impact on community wellbeing</p> <p>Services brought back under council provision</p> <p>Budget overspend</p> <p>Create inefficiencies</p> <p>Services not provided</p>	Probable	Major	<p>Creating Resilient Communities Board</p> <p>New service delivery models</p>	Possible	Major		<p>Develop a Community Engagement Strategy (Jon Stonehouse, 31/03/2017)</p> <p><b>IN PROGRESS – deadline will extend to 30/6/17</b></p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**KCR 9 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
<p>Failure to effectively monitor and manage partnerships</p> <p>Partner (eg NHS) financial pressures may effect outcomes</p>	<p>Key partnerships fail to deliver of break down</p> <p>Ability to deliver transformation priorities undermined</p> <p>Adverse impact on service delivery</p> <p>Funding implications</p> <p>Reputational impact</p>	Probable	Major	Partnership Code of Practice in place	Possible	Moderate		<p>Monitoring of controls (CMT, 31/03/2017)</p> <p><b>ONGOING ACTION – deadline will extend to 31/3/2018</b></p>

**ANNEX A  
KEY CORPORATE RISK REGISTER**

**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
<p>The necessity to deliver savings has resulted in a reduced workforce</p> <p>Recruitment and retention difficulties as the council may be seen as a less attractive option than the private sector</p> <p>Lack of succession planning</p>	<p>Increased workloads for staff</p> <p>Impact on morale and as a result, staff turnover</p> <p>Inability to maintain service standards</p> <p>Impact on vulnerable customer groups</p> <p>Reputational damage</p> <p>Single points of failure throughout the business</p>	Probable	Major	<p>Workforce Strategy</p> <p>Stress Risk Assessments</p> <p>PDRs</p> <p>Comprehensive Occupational Health provision including counseling</p> <p>HR policies e.g. whistleblowing, dignity at work</p>	Possible	Moderate	New action added	<b>NEW</b> - Develop a comprehensive health and wellbeing policy consolidating all current and planned actions. (Sharon Stoltz, 31/03/2018)