ANNEX A
KEY CORPORATE RISK REGISTER AT M1 2019/20

> **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 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 that impact on the council.

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). 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 and procurement service, supported by managers with financial awareness Efficiency Plan agreed by Executive June 2016 secured funding until 2019/20 Ongoing analysis of 'no deal' Brexit implications through reports to Executive Financial Strategy 2019/20 approved	Possible	Moderate (14)	No change	Development of budget strategy for 2020/21 (Ian Floyd, 31/01/2020)

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 statutory compliance including 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 FOIA and transparency Failure to comply with data protection and privacy legislation Serious breach of health and safety legislation Failure to comply with statutory obligations in respect of public safety	Increases in cases held or fines levied by Information Commissioner Failing to meet the legal timescales for responding to FOIA may result in reduced confidence in the council's ability to deal with FOIA and in turn, its openness and transparency Individuals will be at risk of committing criminal offences if they knowingly or recklessly breach the requirements of the GDPR legislation. Potential increased costs to the council if there are successful individual claims for compensation as a result of a breach of GDPR legislation. Impact on the end user/customer Public and staff safety may be put at risk Possible investigation by HSE Prohibition notices might be	Probable	Major (20)	Electronic Communication Policy IT security systems in place Governance, Risk and Assurance Group (GRAG) Ongoing Internal Audit review of information security Health and Safety monitoring Regular monitoring reports to Audit & Governance committee and Executive Member decision sessions Open Data platform providing Freedom of Information (FOI) requested data Regular review of transparency code legislation and compliance Ongoing management of data architecture to provide de-personalised data to open data platform Public Protection Annual Control Strategy	Possible	Major (19)	No change	Ongoing Action - Health and Safety training programmes at all levels (Ian Floyd, 31/03/2020) Ongoing Action: regular review of internal audit reviews and recommendations (Ian Floyd 31/03/20)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
	served preventing delivery of some services Prosecution with potential for imprisonment if Corporate Manslaughter Further incidents occur Adverse media/ social media coverage Reputational impact			Additional resource, training and improved processes to deal with FOIA requests Additional resource, training and improved processes to deal with the implementation of GDPR				

KCR 3 EFFECTIVE AND STRONG PARTNERSHIPS: Failure to ensure partnership arrangements are fit for purpose to effectively deliver outcomes. In order to continue to deliver good outcomes and services, the council will have to enter into partnerships with a multitude of different organisations whether they are public, third sector or commercial entities. The arrangements for partnership working need to be clear and understood by partners to ensure they deliver the best possible outcomes.

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 Partner (especially NHS, Academies) financial pressures may affect outcomes for residents Unilateral decisions made by key partners may effect other partners' budgets or services Financial pressure on York Teaching Hospitals NHS Foundation Trust (YTHFT) and Vale of York Clinical Commissioning Group (VOYCCG)	Key partnerships fail to deliver or break down Misalignment of organisations' ambitions and direction of travel Ability to deliver transformation priorities undermined Adverse impact on service delivery Funding implications Reputational impact	Probable	Major (20)	Account management approach to monitoring key partnerships Internal co-ordination such as Creating Resilient Communities Working Group (CRCWG)	Possible	Moderate (14)	No change	Ongoing action - Monitoring of controls (CMT, 31/03/2020)

KCR 4 CHANGING DEMOGRAPHICS: **Inability to meet statutory duties 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 inward 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
Development and regeneration makes York more desirable and accessible to residents, students and business, resulting in increasing inward migration to York. An increase in the aging population requiring services from the council Increase in complexity of needs as people get older Increase in people living with dementia Increase in ethnic diversity of the population means that the council has to understand the needs of different communities in relation to how services are delivered Growing number of people with SEND or complex needs living into adulthood Demographic of workforce supply unable to meet	Increased service demand from residents, including; statutory school placements, SEND, mental health, adult social care and environmental services (eg waste collection) Increased service demand in relation to business (eg Regulation, Planning) Impact of additional demands cause significant financial and delivery challenges, such as a rise in delayed discharges Reputational impact as these mainly impact high risk adult and children's social care service areas Unable to recruit workers in key service areas eg care workers	Probable	Major (20)	Place planning strategy to ensure adequate supply of school places DfE returns and school population reported every 6 months Local area working structures in frontline services, including Early intervention initiatives and better self-care Assessment and Care management review underway, to better manage adult social care demand on CYC Advice and Information Strategy underway, to provide residents with direct access to support and services, to better manage adult social care demand on CYC Investment in support brokerage work with NHS integrated commissioning Stakeholder and officer group, to create a more connected and integrated health and social care system. Officer caseload monitoring	Possible	Major (19)	Update to action	Ongoing Action - Ensure adequate supply of schools places (CYC Place Planning Strategy, Governance Structure) (Amanda Hatton, 31/03/2020) Further redesign and implementation of new arrangements for early intervention and prevention (Sophie Wales, 30/6/2019) Undertake a review to link the Local Plan and Major development projects to demographic data to determine the impact on all CYC services. **UPDATE:** The Local Plan is currently in the public enquiry process which will consider the impact (CMT, 30/09/19)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
workforce demand Failure to plan for the impact of a rapid change in demographics to front line service provision				Internal co-ordination such as Creating Resilient Communities Working Group (CRCWG) York Skills Plan to 2020				

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)	Completed action/ New Control	Ongoing action Safeguarding Board annual action plan 2019/20 (Sharon Houlden, 31/03/2020)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				2018/19 is approved Controls implemented from peer review action plan CORAG (Chief Officer Reference and Accountability Group) which brings together Chief Officers from relevant organisations in relation to safeguarding eg police, CYC Community Safety Plan 2017 to 2020 agreed by Executive 28 Sep 2017 Completed restructure of Children's social care services **NEW:** Children's Social Care records system is upgraded. This is monitored by a project board. On going development is planned and awaiting costings				

KCR 6 HEALTH AND WELLBEING: Failure to protect the health of the local population from preventable health threats.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
Failure to protect the health of citizens against preventable disease by ensuring appropriate levels of vaccination, immunisation and screening.	Likelihood of mass disease outbreaks Late diagnosis & delay in treatment of health conditions that could be identified earlier through routine screening e.g. breast & cervical cancer, diabetic sight loss Reduction in life expectancy	Probable	Major (20)	Liaison with NHS and Public Health England and development of plans to be able to make a large scale response e.g. Mass Treatment Plan. Health Protection Board recently established with good engagement across partners in local and regional meetings. Annual Health Protection Report to the Health and Wellbeing Board and Health & Adult Social Care Policy and Scrutiny Committee CYC Director of Public Health is co-chair with NHS England of the North Yorkshire & York Local Health Resilience Partnership.	Possible	Moderate (14)	New details and controls	Internal audit of health protection governance has been completed giving reasonable assurance. An external peer review has been undertaken of health protection arrangements. The final report has not yet been received but the outcome of the peer review & internal audit will inform the development of an action plan to be overseen by the Health & Wellbeing Board (Sharon Stoltz, 31/03/20)

KCR 7 CAPITAL PROGRAMME: Failure to deliver the Capital Programme, which includes high profile projects. The capital programme currently has a budget of £360m from 2018/19 to 2022/23. 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 Increase in scale of the capital programme, due to major projects and lifting of borrowing cap for Housing	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 Additional resource to support project management Capital Strategy 2019/20 to 2023/24 approved in Feb 2019	Possible	Moderate (14)	No change	Development of capital strategy for 2020-21 (Ian Floyd, 31/01/2020)

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 The Council has submitted the Local Plan for Inspection and therefore taken a significant step in reducing the risks associated with the Local Plan. However the plan has a public enquiry process to proceed through and the impacts of a failure in the public enquiry phase remain as previous therefore the overall risk score remains unchanged.	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)	Continued close liaison with neighbouring authorities. Continued close liaison with MHCLG, Planning Advisory Services and Planning Inspectorate and the appointed planning inspectors	Possible	Major (19)	No change	Ongoing action - Monitoring of controls (Mike Slater, 31/03/2020)

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

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

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, including Local Area Teams. Local Authority Co-ordination Neighborhood Working

Revised Community Safety Plan

Devolved budgets to Ward Committees and delivery of local action plans through ward teams

Local area working restructures for Children's, Adults and Housing Services

Improved information and advice, Customer Strategy and ICT support to facilitate self service

CYC Staff and Member training and development | Possible | Major (19) | Revised deadline for action | Develop a Community Engagement Strategy (Amanda Hatton, 31/12/2019)

REVISED DATE
New framework of consultation across the City to support the Community Engagement Strategy (Claire Foale 30/9/19) |

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 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 Development of coaching/ mentoring culture to improve engagement with staff Corporate Cost Control Group monitoring of absence and performance reporting Apprenticeship task group Agency and Interim Staffing Policies Absence Management Policies Substance Misuse Policy	Possible	Moderate (14)	Updated action	A Workplace Health & Wellbeing Group has been established with staff & trade union representation which is chaired by the Director of Public Health. A staff health & wellbeing survey has been undertaken & this is being followed up by staff focus groups. The outputs of this work will be used to develop a Workplace Health & Wellbeing Strategy for the organisation. The council has recently signed up to a pledge to become a Time to Change Employer with a focus on mental health. (Sharon Stoltz) Ongoing action: Review of HR policies to ensure

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
								they compliment the new ways of working in the future (Ian Floyd 31/03/20)

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 and putting further mitigation in place, such as more robust contract monitoring and commissioning some 'enhanced' credit checks 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 Ongoing analysis of 'no deal' Brexit implications through reports to Executive	Unlikely	Moderate (13)	No change	Ongoing action: Ongoing attendance at Independent Care Group Provider Conference (Sharon Houlden 31/03/20)

KCR 12 MAJOR INCIDENTS: Failure to respond appropriately to major incidents. Local Authorities are required by law to make preparations to deal with emergencies. Local Authorities have four main responsibilities in an emergency 1. to support the Emergency Services, 2. to co-ordinate non-emergency organisations, 3. to maintain their own services through a robust Business Continuity Management process and 4. to facilitate the recovery of the community.
The Council must ensure that its resources are used to best effect in providing relief and mitigating the effects of a major peacetime emergency on the population, infrastructure and environment coming under it's administration. This will be done either alone or in conjunction with the Emergency Services and other involved agencies, including neighbouring authorities.

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
An uncoordinated or poor response to a major incident such as: • Flood • Major Fire • Terrorist Attack	Serious death or injury Damage to property Reputational damage Potential for litigation Potential for corporate manslaughter charges if risks are identified and proposed actions not implemented	Probable	Catastrophic (24)	Emergency planning and Business Continuity Plans in place and regularly reviewed Strong partnerships with Police, Fire, Environment Agency and other agencies Support to Regional Resilience forums Support and work in partnership with North Yorkshire local resilience forums Investment in Community Resilience (re Flooding) Work with partners across the city to minimise the risk of a terrorist attack Implemented physical measures for	Possible	Major (19)	No change	Ongoing action: Regular review of emergency and business continuity plans (Neil Ferris, 31/3/20)

Risk Detail (cause)	Implications (consequence)	Gross Likelihood	Gross Impact	Controls	Net Likelihood	Net Impact	Direction of Travel	Risk Owner and Actions
				certain events Review of city transport access measures (Exec Feb 18, Sep 18)				