

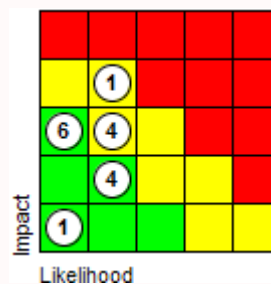
Corporate Risk Register 2014-18

Generated on: 08 January 2016





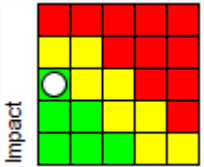

Corporate Risk Register 2015-2018




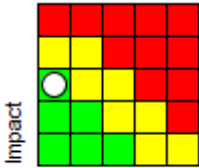
Current Risk Heat Map







Summary



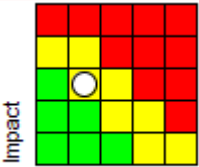

Status	Code	Title	Status	Code	Title
✓	CRR 01	Significant Partnerships	⚠	CRR 11	Council Assets
✓	CRR 02	Capital Programme	⚠	CRR 12	Customer Expectations
✓	CRR 03	Staff Management	✓	CRR 13	Fraud and Corruption
⚠	CRR 04	External Funding	✓	CRR 14	Data Quality
⚠	CRR 05	Affordable Housing	✓	CRR 15	Delivering Efficiencies
✓	CRR 06	Procurement	⚠	CRR 16	Data Protection
✓	CRR 07	Health and Safety	✓	CRR 17	Regulation and Investigatory Powers Act
✓	CRR 08	Emergency Planning and Business Continuity Planning	✓	CRR 18	Member Training


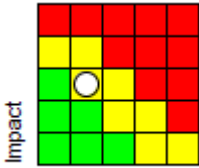
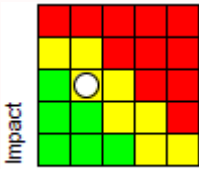

CRR 01 Significant Partnerships			
Risk Code	Risk Title	Description	Status
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively	
Consequences		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.	
Original Matrix		Original Rating Description	
	Original Impact	C	3
		Medium	Original Likelihood Likely
Current Risk Matrix		Current Rating Description	
	Current Impact	C	1
		Medium	Current Likelihood Very Low
Target Risk Matrix		Target Rating Description	
	Target Impact	B	1
		Minor	Target Likelihood Very Low
Latest Progress		Last Review Date	SMT Lead
18-Jan-2016 While the Audit of Partnerships concluded with an outcome of high assurance, it did raise a query about the governance arrangements for the LEP. This has proved to be largely without foundation due to the LEP's constitution. However, governance issues are a key element in current discussions about devolution arrangements and a combined authority that includes Ryedale District.		12-Jan-2016	Clare Slater


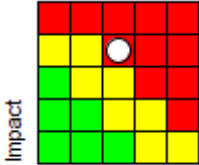


CRR 02 Capital Programme				
Risk Code	Risk Title	Description	Status	
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.		
Consequences		Failure to deliver the Council priorities		
Original Matrix		Original Rating Description		
	Original Impact	C	Original Likelihood	3
		Medium		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	C	Current Likelihood	1
		Medium		Very Low
Target Risk Matrix		Target Rating Description		
	Target Impact	C	Target Likelihood	1
		Medium		Very Low
Latest Progress			Last Review Date	SMT Lead
19-Jan-2016 Anticipated significant reduction in New Homes Bonus funding has potential consequences on the current level of delivery of capital projects. To be discussed at RWP on 21st January.			12-Jan-2016	Peter Johnson


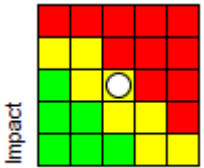


CRR 03 Staff Management				
Risk Code	Risk Title	Description	Status	
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets		
Consequences		Decline in employee performance and delivery		
Original Matrix		Original Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Original Impact	C	Original Likelihood	2
		Medium		Not Likely
Current Risk Matrix		Current Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Current Impact	C	Current Likelihood	1
		Medium		Very Low
Target Risk Matrix		Target Rating Description		
 <p>Impact</p> <p>Likelihood</p>	Target Impact	B	Target Likelihood	2
		Minor		Not Likely
Latest Progress			Last Review Date	SMT Lead
12-Jan-2016 Absence management is ongoing with performance reported monthly to Management Team and Quarterly to Members in the Council Business Plan report. Service redesign to achieve efficiencies is a key element of the Towards 2020 transformation programme.			12-Jan-2016	Clare Slater





CRR 04 External Funding


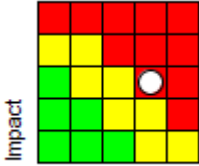

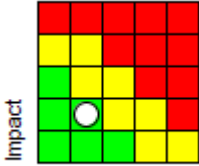
Risk Code	Risk Title	Description	Status					
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council						
Consequences		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services						
Original Matrix		Original Rating Description						
		Original Impact	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1135 432 1476 472" style="text-align: center;">C</td> <td data-bbox="1476 432 1789 644" rowspan="2" style="text-align: center;">Original Likelihood</td> <td data-bbox="1789 432 2143 472" style="text-align: center;">3</td> </tr> <tr> <td data-bbox="1135 472 1476 644" style="text-align: center;">Medium</td> <td data-bbox="1789 472 2143 644" style="text-align: center;">Likely</td> </tr> </table>	C	Original Likelihood	3	Medium	Likely
C	Original Likelihood	3						
Medium		Likely						
Current Risk Matrix		Current Rating Description						
		Current Impact	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1135 686 1476 726" style="text-align: center;">C</td> <td data-bbox="1476 686 1789 898" rowspan="2" style="text-align: center;">Current Likelihood</td> <td data-bbox="1789 686 2143 726" style="text-align: center;">2</td> </tr> <tr> <td data-bbox="1135 726 1476 898" style="text-align: center;">Medium</td> <td data-bbox="1789 726 2143 898" style="text-align: center;">Not Likely</td> </tr> </table>	C	Current Likelihood	2	Medium	Not Likely
C	Current Likelihood	2						
Medium		Not Likely						
Target Risk Matrix		Target Rating Description						
		Target Impact	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1135 940 1476 979" style="text-align: center;">C</td> <td data-bbox="1476 940 1789 1152" rowspan="2" style="text-align: center;">Target Likelihood</td> <td data-bbox="1789 940 2143 979" style="text-align: center;">2</td> </tr> <tr> <td data-bbox="1135 979 1476 1152" style="text-align: center;">Medium</td> <td data-bbox="1789 979 2143 1152" style="text-align: center;">Not Likely</td> </tr> </table>	C	Target Likelihood	2	Medium	Not Likely
C	Target Likelihood	2						
Medium		Not Likely						
Latest Progress			Last Review Date					
<p>19-Jan-2016 Strategic approach to new funding opportunities being developed in response to legislation and Community Infrastructure Levy (CIL). Linked to the development of the Local Development Framework and LEP 5 year Growth Strategy. Increasingly Local Government is to be resourced through Business Rates retention and Council Tax with less emphasis on Revenue Support Grant and New Homes Bonus. As a result of this variables such as any successful Business Rate Appeals will have an impact on the Councils finances, however, contingency has been made for appeals in the Budget.</p>			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1476 1193 1789 1388" style="text-align: center;">12-Jan-2016</td> <td data-bbox="1789 1193 2143 1388" style="text-align: center;">Peter Johnson</td> </tr> </table>	12-Jan-2016	Peter Johnson			
12-Jan-2016	Peter Johnson							


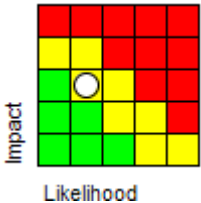
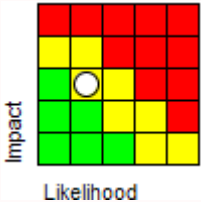
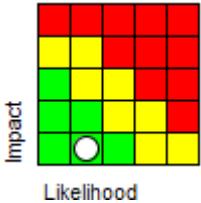
CRR 05 Affordable Housing				
Risk Code	Risk Title	Description	Status	
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale		
Consequences		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community. Local people forced to move away from Ryedale.		
Original Matrix		Original Rating Description		
	Original Impact	C	Original Likelihood	2
		Medium		Not Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	C	Current Likelihood	2
		Medium		Not Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	C	Target Likelihood	2
		Medium		Not Likely
Latest Progress			Last Review Date	SMT Lead
18-Jan-2016 The implications of the changes to the definitions of affordable housing as set out in the Planning and Housing Bill and consultation changes to the NPPF could be significant. The introduction of starter homes as an affordable product (not in perpetuity) could have an adverse impact on delivery figures and result in a product which locally is not affordable -therefore not meeting local housing need. the full implications of policy changes will be likely to be known in Spring 2016 along with the Bill being enacted around the same time. the matter will need to be reviewed at that time in order to more clearly assess the likely impacts on delivery.			12-Jan-2016	Gary Housden



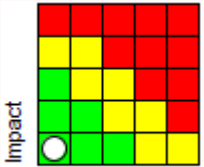
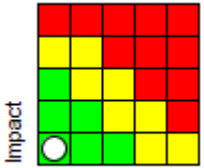
CRR 06 Procurement				
Risk Code	Risk Title	Description	Status	
CRR 06	Procurement	Failure to procure in line with legislation and in line with best value principles		
Consequences		Failure to make efficiency savings. Priority projects not delivered to budget. Adverse external inspection. Breach of legislation e.g. equalities or health and safety. Damage to RDC reputation.		
Original Matrix		Original Rating Description		
	Original Impact	D	Original Likelihood	3
		Major		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	C	Current Likelihood	1
		Medium		Very Low
Target Risk Matrix		Target Rating Description		
	Target Impact	C	Target Likelihood	2
		Medium		Not Likely
Latest Progress		Last Review Date	SMT Lead	
12-Jan-2016 Procurement Partnership established and the service received by the Council is working well with savings being achieved contributing to efficiency targets.		12-Jan-2016	Phil Long	




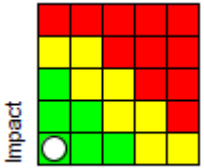
CRR 07 Health and Safety			
Risk Code	Risk Title	Description	Status
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety	
Consequences		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.	
Original Matrix		Original Rating Description	
	Original Impact	C	3
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	B	2
		Minor	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
12-Jan-2016 Member and officer training undertaken. Health and Safety policy framework in place. Ownership across the organisation, roles and responsibilities clarified at all levels of management. All working effectively.		12-Jan-2016	Beckie Bennett



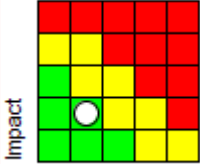
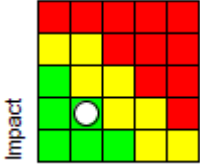
CRR 08 Emergency Planning and Business Continuity Planning			
Risk Code	Risk Title	Description	Status
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.	
Consequences		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation	
Original Matrix		Original Rating Description	
	Original Impact	C	3
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	B	2
		Minor	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
12-Jan-2016 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested. Lessons learned from the recent flooding incidents will be included in any planning for future incidents		12-Jan-2016	Phil Long


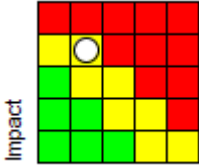
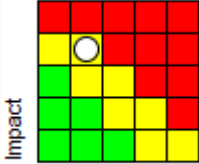

CRR 11 Council Assets			
Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	
Consequences			
Original Matrix		Original Rating Description	
	Original Impact	C	
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	C	
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	B	
		Minor	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
12-Jan-2016 The supporting service is to be redesigned to make efficiencies in the way the service is delivered. Currently interim arrangements are in place. Effective asset management arrangements are a key strand of the Towards 2020 programme. Asset Management is the topic selected by members of O and S for the next scrutiny review		12-Jan-2016	Beckie Bennett



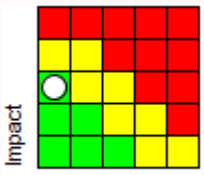
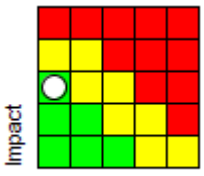
CRR 12 Customer Expectations				
Risk Code	Risk Title	Description	Status	
CRR 12	Customer Expectations	Failure to meet customer service standards and meet customer expectations.		
Consequences		Include CR02		
Original Matrix		Original Rating Description		
		C	Original Likelihood	2
		Medium		Not Likely
Current Risk Matrix		Current Rating Description		
		C	Current Likelihood	2
		Medium		Not Likely
Target Risk Matrix		Target Rating Description		
		A	Target Likelihood	2
		Low		Not Likely
Latest Progress			Last Review Date	SMT Lead
12-Jan-2016 Customers are the focus of the Towards 2020 programme and services will be redesigned to meet customer need. A new customer access strategy is being prepared including plans for shifting the channels through which customers access Council services.			12-Jan-2016	Clare Slater


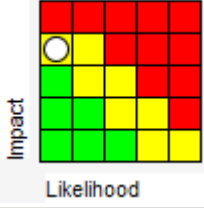
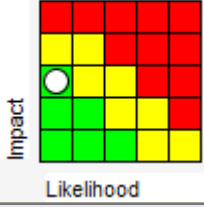
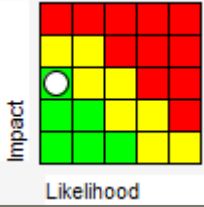
CRR 13 Fraud and Corruption			
Risk Code	Risk Title	Description	Status
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.	
Consequences		Financial loss to the Council, damage to our reputation and credibility	
Original Matrix		Original Rating Description	
	Original Impact	B	2
		Minor	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	A	1
		Low	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	A	1
		Low	Target Likelihood
Latest Progress			Last Review Date
12-Jan-2016 All Housing Benefit related fraud work will move from LA's to the DWP Single Fraud Investigation Service (SFIS) in April 2016. Arrangements in place with Veritau for them to support the Councils corporate approach to managing risk and identifying fraud.			12-Jan-2016
			SMT Lead
			Peter Johnson

CRR 14 Data Quality				
Risk Code	Risk Title	Description	Status	
CRR 14	Data Quality	The Council recognises the importance of data quality as we need reliable, accurate and timely performance information with which to manage services, inform users and account for our performance		
Consequences				
Original Matrix		Original Rating Description		
	Original Impact	B	Original Likelihood	2
		Minor		Not Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	B	Current Likelihood	2
		Minor		Not Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	A	Target Likelihood	1
		Low		Very Low
Latest Progress		Last Review Date	SMT Lead	
12-Jan-2016 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome.		12-Jan-2016	Clare Slater	

CRR 15 Delivering Efficiencies				
Risk Code	Risk Title	Description	Status	
CRR 15	Delivering Efficiencies	Council fails to meet efficiency targets which necessitates cuts to other services		
Consequences		Cuts to frontline services, reputational damage to the Council, possible poor outcome of external inspection.		
Original Matrix		Original Rating Description		
	Original Impact	D	Original Likelihood	3
		Major		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	B	Current Likelihood	2
		Minor		Not Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	B	Target Likelihood	2
		Minor		Not Likely
Latest Progress			Last Review Date	SMT Lead
12-Jan-2016 The Council is required to make savings over the period of the latest spending review - to 2019/20. The Towards 2020 programme is being developed to incorporate the latest requirements with an anticipated target saving requirement of between £1.2 and £1.7 million over the next 3 years.			12-Jan-2016	Peter Johnson

CRR 16 Data Protection				
Risk Code	Risk Title	Description	Status	
CRR 16	Data Protection	To ensure the Council meets all of its statutory obligations relating to the protection of personal and confidential data.		
Consequences		Legal action resulting in large fines (£100k-£500k). Reputational damage and adverse publicity.		
Original Matrix		Original Rating Description		
 <p style="text-align: center;">Likelihood</p>	Original Impact	D	Original Likelihood	
		Major		2
Current Risk Matrix		Current Rating Description		
 <p style="text-align: center;">Likelihood</p>	Current Impact	D	Current Likelihood	
		Major		2
Target Risk Matrix		Target Rating Description		
 <p style="text-align: center;">Likelihood</p>	Target Impact	D	Target Likelihood	
		Major		1
Latest Progress			Last Review Date	SMT Lead
12-Jan-2016 A range of data protection policies are available to all staff on the intranet, in addition to regular updates based on current cases. http://intranet.ryedale.gov.uk/Default.aspx?page=6859			12-Jan-2016	Phil Long

CRR 17 Regulation and Investigatory Powers Act			
Risk Code	Risk Title	Description	Status
CRR 17	Regulation and Investigatory Powers Act	That the Council does not meet the requirements of legislation including the RIPA 2000 and the Protection of Freedoms Act 2012	
Consequences		That the Council is found to be in breach of the legislation.	
Original Matrix		Original Rating Description	
	Original Impact	D	Original Likelihood
		Major	
Current Risk Matrix		Current Rating Description	
	Current Impact	C	Current Likelihood
		Medium	
Target Risk Matrix		Target Rating Description	
	Target Impact	C	Target Likelihood
		Medium	
Latest Progress			Last Review Date
12-Jan-2016 Key responsibilities allocated to members of Management team and training undertaken. Policies and guidance are up to date on the Council Website. An inspection was carried out in June 2015, the Council has implemented the recommendations made in the final report.			SMT Lead 12-Jan-2016 Phil Long

CRR 18 Member Development			
Risk Code	Risk Title	Description	Status
CRR 18	Member Development	That members of the council do not have the opportunity to develop the skills and competencies to ensure they participate in robust decision making	
Consequences		That the Council is found to be in breach of the legislation or a decision is found to be unsound, the council is unable to deliver its priorities.	
Original Matrix		Original Rating Description	
		Original Impact D Major	Original Likelihood 1 Very Low
Current Risk Matrix		Current Rating Description	
		Current Impact C Medium	Current Likelihood 1 Very Low
Target Risk Matrix		Target Rating Description	
		Target Impact C Medium	Target Likelihood 1 Very Low
Latest Progress			Last Review Date
12-Jan-2016 Member development programme in place and managed effectively by member working party. Competency framework in place with programme in place to reflect the skills and knowledge required and help to ensure that Members have access to relevant training. Induction programme delivered to ensure that any new members elected in May 2015 have effective and relevant induction and any statutory training required to enable participation in decision making and to ensure this is robust.			SMT Lead 12-Jan-2016 Janet Waggott