
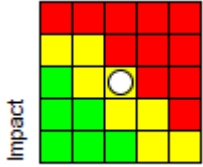
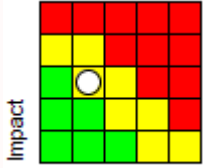
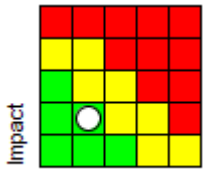


Corporate Risk Register


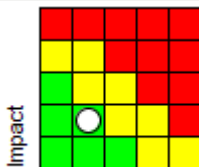


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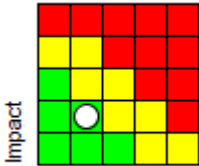
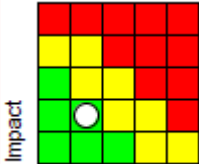
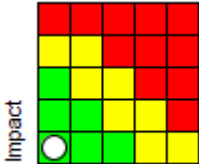
Status	Code	Title
	CRR 01	Significant Partnerships
	CRR 02a	Corporate Fraud and Corruption (Delivering the Financial Strategy)
	CRR 02b	Data Quality (Delivering the Financial Strategy)
	CRR 02c	Delivering Efficiencies (Delivering the Financial Strategy)
	CRR 03	Staff Management
	CRR 04	External Funding
	CRR 05	Affordable Housing
	CRR 06	Contract Management
	CRR 07	Health and Safety
	CRR 08	Business Continuity Planning
	CRR 09	Management of Council Assets
	CRR 10	Information Security


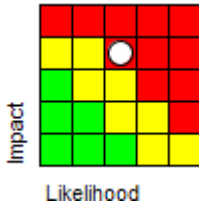
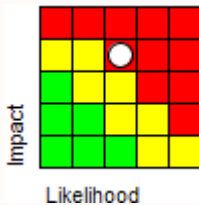
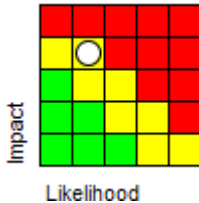
CRR 01 Significant Partnerships					
Risk Code	Risk Title	Description			Status
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively and achieves value for money			
Consequences		Financial cost to the Council through partnership failure, breach of legislation by 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	Original Likelihood	3
			Medium		Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	C	Current Likelihood	2
			Medium		Not Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	B	Target Likelihood	2
			Minor		Not Likely
Latest Progress			Last Review Date	SMT Lead	
Partnerships risk register updated and internal audit of partnerships to take place in 2018/19. Recent moves towards a One Yorkshire devolution proposal (excluding Sheffield and Rotherham) have been rejected by Government and the way forward is not currently clear. Current consideration to establishing a growth delivery team to work across North Yorkshire to bring forward housing and economic projects, using the Business Rates 100% pilot.			19-Oct-2017	Julian Rudd	


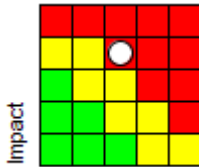
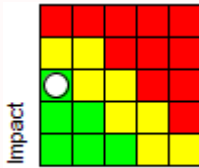
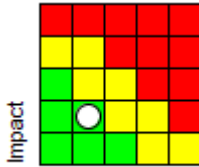
CRR 02a Corporate Fraud and Corruption (Delivering the Financial Strategy)


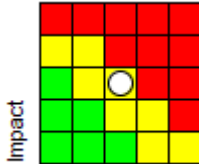
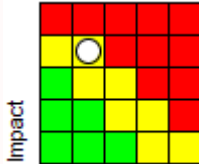
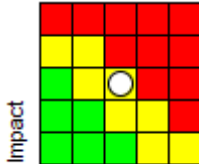
Risk Code	Risk Title	Description			Status
CRR 02a	Corporate Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.			
Consequences		Financial loss to the Council, damage to our reputation and credibility			
Original Matrix		Original Rating Description			
	Original Impact	B	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	B	Target Likelihood	1	
		Minor		Very Low	
Latest Progress			Last Review Date	SMT Lead	
Counter Fraud and Corruption strategy update approved at Audit Committee in July 2017. Current fraud risks facing the Council were also considered and a number of specific actions were included in the risk assessment.			10-Oct-2017	Peter Johnson	

CRR 02b Data Quality (Delivering the Financial Strategy)


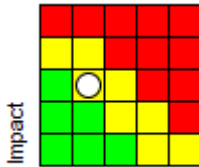
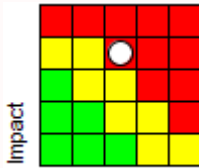
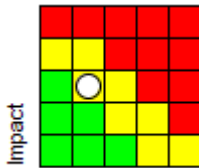
Risk Code	Risk Title	Description	Status
CRR 02b	Data Quality	The Council recognises the importance of data quality as we need reliable, accurate and timely performance information with which to manage services, inform users and account for our performance	
Consequences		Damage to councils reputation through dissemination of inaccurate information, lack of robustness of performance management arrangements	
Original Matrix		Original Rating Description	
		B	2
		Minor	Not Likely
Current Risk Matrix		Current Rating Description	
		B	2
		Minor	Not Likely
Target Risk Matrix		Target Rating Description	
		A	1
		Low	Very Low
Latest Progress		Last Review Date	SMT Lead
Revised KPI's have been produced for Scrutiny Committee, the Committee continues to work to ensure that the indicators are fit for purpose, meaningful and align with the revised corporate aims		20-Oct-2017	Clare Slater


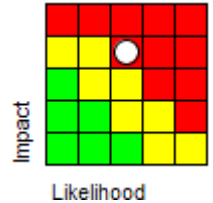
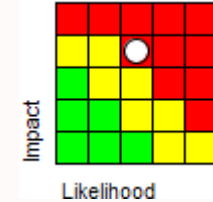
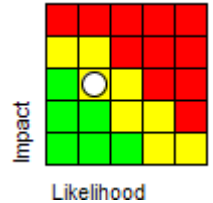
CRR 02c Delivering Efficiencies (Delivering the Financial Strategy)					
Risk Code	Risk Title	Description			Status
CRR 02c	Delivering Efficiencies	Council fails to meet efficiency targets which necessitates cuts to other services			
Consequences		Cuts to frontline services, reputational damage to the 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	D	Current Likelihood	3
			Major		Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	D	Target Likelihood	2
			Major		Not Likely
Latest Progress			Last Review Date		SMT Lead
NYCC consulting on the removal of recycling credits, the impact will increase the efficiency saving target by c£150k			20-Oct-2017		Peter Johnson


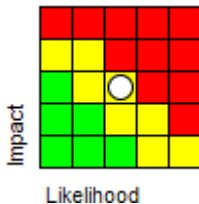
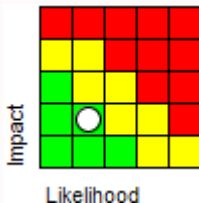
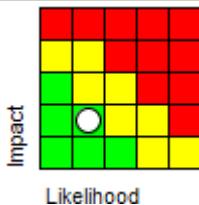
CRR 03 Staff Management					
Risk Code	Risk Title	Description			Status
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
Consequences		Decline in employee performance and delivery			
Original Matrix		Original Rating Description			
<div><div>Impact</div><div></div><div>Likelihood</div></div>		Original Impact	D	Original Likelihood	3
			Major		Likely
Current Risk Matrix		Current Rating Description			
<div><div>Impact</div><div></div><div>Likelihood</div></div>		Current Impact	C	Current Likelihood	1
			Medium		Very Low
Target Risk Matrix		Target Rating Description			
<div><div>Impact</div><div></div><div>Likelihood</div></div>		Target Impact	B	Target Likelihood	2
			Minor		Not Likely
Latest Progress				Last Review Date	SMT Lead
Workpal is being introduced across the organisation which is a new staff development and appraisal system. The outcomes of the initial assessment process will feed into future training plans. Leadership Team are focusing on performance management to ensure a corporate approach to reporting and follow up actions.				20-Oct-2017	Beckie Bennett


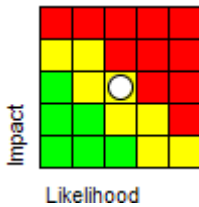
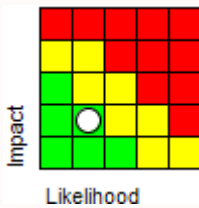
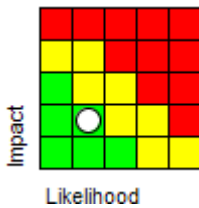
CRR 04 External Funding				
Risk Code	Risk Title	Description		Status
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council		
Consequences		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services		
Original Matrix		Original Rating Description		
	Original Impact	C	Original Likelihood	3
		Medium		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	D	Current Likelihood	2
		Major		Not Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	C	Target Likelihood	3
		Medium		Likely
Latest Progress			Last Review Date	SMT Lead
The most significant potential investment in Ryedale is major improvement of the A64 between Hopgrove and Barton Le Willows. Route options are yet to be published but Highways England's July 2017 Hopgrove report concluded that dualling was a more beneficial option than junction improvements. A64 Growth Partnership are meeting Highways England on 20 October to understand the latest situation and press for full dualling of this section, together with a business case developed for dualling the Crambeck to Malton section during RIS3 (2025-30).			19-Oct-2017	Julian Rudd
The provisional allocation of £1m of LGF for the Thornton Road employment projects has been flagged as a risk				


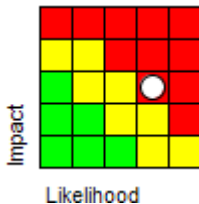
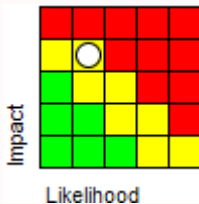
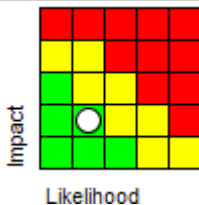
<p>by the LEP due to state aid and deliverability issues. A review of the business case is underway with the applicant. Report to P&R likely to result.</p> <p>Malton and Norton Flood scheme invited to submit full business case for LGF towards some of the funding gap. NYCC advancing this.</p> <p>RDC has agreed to spend up to £75k to work up designs for Malton to Pickering cycle route after a positive response to EOI by RDPE. Up to £700k will be sought.</p> <p>Considerable uncertainty over Brexit approach and outcomes. Future Government funding likely to be tied to Industrial Strategy, with associated funding opportunities.</p> <p>Delays from NYCC on progressing joint study on Malton and Norton Rail Improvements mean that consultants have only just been appointed, with the study likely to conclude in Spring 2018. Funding bids will then be prepared to early stage projects</p>		
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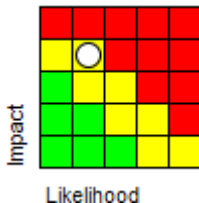
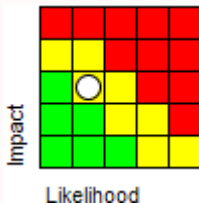
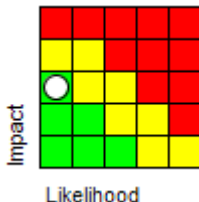
CRR 05 Affordable Housing					
Risk Code	Risk Title	Description			Status
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale			
Consequences		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers 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	D	Current Likelihood	3
			Major		Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	C	Target Likelihood	2
			Medium		Not Likely
Latest Progress			Last Review Date	SMT Lead	
Approximately 50 affordable homes will be delivered in 2017/18 which is expected to be similar to the outturn for 2016/17. It is however still below the current target. Officers are analysing how and from which sites affordable housing is being delivered as part of a review of this target.			20-Oct-2017	Gary Housden	

CRR 06 Contract Management				
Risk Code	Risk Title	Description		Status
CRR 06	Contract Management	Failure to manage contractual arrangements in line with council policy		
Consequences		Breach of legislation eg. equalities or health and safety. Breach of contractual arrangements. Damage to RDC reputation. Failure to ensure Value for Money. Adverse external inspection.		
Original Matrix		Original Rating Description		
	Original Impact	D	Original Likelihood	3
		Major		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	D	Current Likelihood	3
		Major		Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	C	Target Likelihood	2
		Major		Not likely
Latest Progress			Last Review Date	SMT Lead
Post of Commissioning Officer created within new structure. Work continues to fully populate Contract Register and training scheduled for November/December.			20-Oct-2017	Peter Johnson

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	Likely
Current Risk Matrix		Current Rating Description		
		Current Impact	B	2
			Minor	Not Likely
Target Risk Matrix		Target Rating Description		
		Target Impact	B	2
			Minor	Not Likely
Latest Progress			Last Review Date	SMT Lead
Health and safety is a top priority in the workplace and a programme of "Your Safety" improvements are being implemented at Malton Depot.			20-Oct-2017	Beckie Bennett

CRR 08 Business Continuity Planning				
Risk Code	Risk Title	Description		Status
CRR 08	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	Original Likelihood
			Medium	
Current Risk Matrix		Current Rating Description		
		Current Impact	B	Current Likelihood
			Minor	
Target Risk Matrix		Target Rating Description		
		Target Impact	B	Target Likelihood
			Minor	
Latest Progress			Last Review Date	SMT Lead
Following the workshop in July, all Lead Officers are working on streamlining their BCPs by the end of October.			20-Oct-2017	Beckie Bennett

CRR 09 Management of Council Assets				
Risk Code	Risk Title	Description		Status
CRR 09	Management of Council Assets	Ensure the Council has proper plans to ensure maintenance and fitness for purpose of the Council assets		
Consequences		Potential breach of Health & Safety regulations, failure to deliver value for money, failure to deliver a balanced budget.		
Original Matrix		Original Rating Description		
	Original Impact	C	Original Likelihood	4
		Medium		Very Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	D	Current Likelihood	2
		Major		Not Likely
Target Risk Matrix		Target Rating Description		
	Target Impact	B	Target Likelihood	2
		Minor		Not Likely
Latest Progress			Last Review Date	SMT Lead
Council agreed a policy for the future management of the council property portfolio in October 2016.			10-Oct-2017	Beckie Bennett
In September 2017 P&R agreed to progress the work with One Public Estate and HCA Minutes				

CRR 10 Information Security				
Risk Code	Risk Title	Description		Status
CRR 10	Information Security	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		
	Original Impact	D	Original Likelihood	2
		Major		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	1
		Medium		Very Low
Latest Progress			Last Review Date	SMT Lead
<ul style="list-style-type: none">All access changes to ICT systems need to complete a form & have it authorisedWorking on GDPRPaperless by Christmas and 3 Fridays on run up Christmas to review all paper held and either dispose or store appropriatelySome more printers removed to reduce risk of paper not being handled appropriately			04-Oct-2017	Peter Johnson