
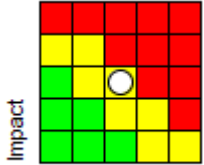
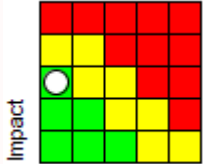
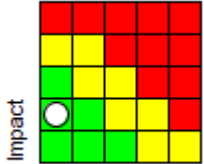



Corporate Risk Register 2009-2013


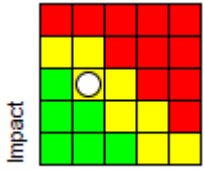
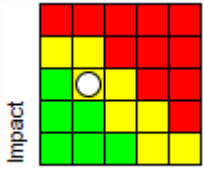
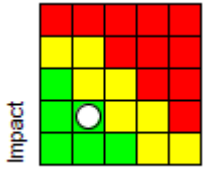
Generated on: 27 September 2010








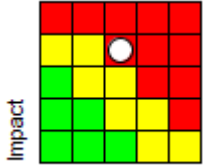


| Risk Summary | | | Key | |
|--------------|--------|------------------------------|-------------|---------|
| Status | Code | Title | Risk Status | |
| | CRR 01 | Significant Partnerships | | OK |
| | CRR 02 | Capital Programme | | Warning |
| | CRR 03 | Staff Management | | Alert |
| | CRR 05 | Affordable Housing | | Unknown |
| | CRR 06 | Procurement | | |
| | CRR 07 | Health and Safety | | |
| | CRR 08 | Business Continuity Planning | | |
| | CRR 09 | Governance Arrangements | | |
| | CRR 10 | Major Incident risk Flooding | | |
| | CRR 11 | Council Assets | | |
| | CRR 12 | Customer Expectations | | |
| | CRR 13 | Fraud and Corruption | | |
| | CRR 14 | Data Quality | | |
| | CRR 15 | Delivering Efficiencies | | |



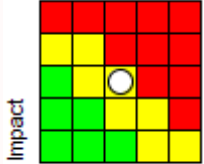

| CRR 01 Significant Partnerships | | | |
|--|--------------------------|--|---|
| Risk Code | Risk Title | Description | Status |
| CRR 01 | Significant Partnerships | That the Council fails to manage its partnerships effectively |  |
| Consequences | | Financial cost to the Council through partnership 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 |
| Current Risk Matrix | | Current Rating Description | |
|  | Current Impact | C | 1 |
| | | Medium | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | |
|  | Target Impact | B | 1 |
| | | Minor | Target Likelihood |
| Latest Progress | | | Last Review Date |
| 24 Sep 2010 All significant partnerships being managed by Management Team in line with the Partnership Protocol. All partnerships following the protocol at service level. | | | 24 Sep 2010 |
| | | | SMT Lead |
| | | | Clare Slater |




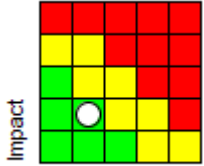
| CRR 02 Capital Programme | | | | |
|--|-------------------|---|---|---------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 02 | Capital Programme | Failure to deliver capital programme for Council priorities, on budget and on time. |  | |
| Consequences | | Failure to deliver the Council priorities | | |
| Original Matrix | | Original Rating Description | | |
| | | Original Impact | C | 3 |
| | | | Medium | Original Likelihood |
| Current Risk Matrix | | Current Rating Description | | |
| | | Current Impact | C | 1 |
| | | | Medium | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | | |
| | | Target Impact | C | 1 |
| | | | Medium | Target Likelihood |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects. | | | 24 Sep 2010 | Trevor Anderson |


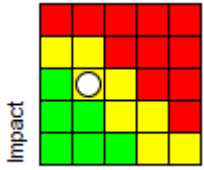
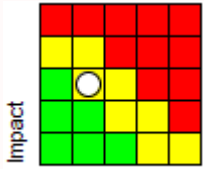
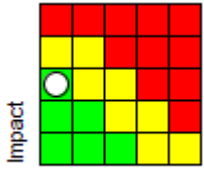
| CRR 03 Staff Management | | | | |
|---|------------------------|--|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 03 | Staff Management | Failure to effectively manage and develop our workforce assets |  | |
| Consequences | | Decline in employee performance and delivery | | |
| 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 | 2 |
| | | Medium | | Not Likely |
| 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 |
| 04 Feb 2010 HR Policies and Procedures are under Review. Workforce Plan is drafted. Leadership Development programme has been launched. One - 11 programme launched October 2009 | | | 29 Sep 2009 | Louise Sandall |


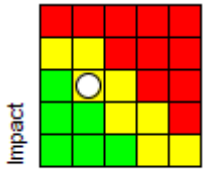
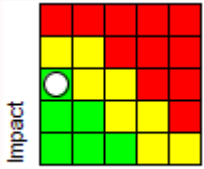
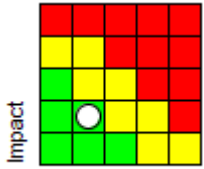
| CRR 05 Affordable Housing | | | | |
|--|------------------------|---|---|---------------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 05 | Affordable Housing | Housing need in Ryedale which can be met through the provision of affordable housing is not met. |  | |
| Consequences | | 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 | | |
| 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 | 3 |
| | | Medium | | Likely |
| Target Risk Matrix | | Target Rating Description | | |
|  | Target Impact | C | Target Likelihood | 2 |
| | | Medium | | Not Likely |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Risk of reduction in funding for homelessness support and supporting people programmes, uncertainty over longer term future for Bridge House, reductions in funding likely for adaptation and improvement of housing stock. 09/10 performance above target for new affordable Homes 96 delivered, however this rate of improvement against the previous year (70%) is unlikely to be sustained in the current financial climate. | | | 24 Sep 2010 | Gary Housden; Julian Rudd |


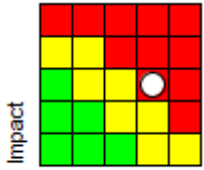
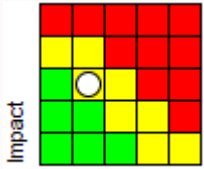
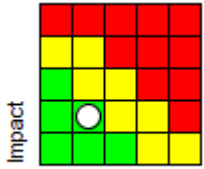
| CRR 06 Procurement | | | |
|--|------------------------|---|---|
| Risk Code | Risk Title | Description | Status |
| CRR 06 | Procurement | |  |
| Consequences | | Failure to make efficiency savings. Priority projects not delivered to budget. Government penalties. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation. | |
| Original Matrix | | Original Rating Description | |
|  | Original Impact | D | 3 |
| | | Major | Original Likelihood |
| Current Risk Matrix | | Current Rating Description | |
|  | Current Impact | C | 2 |
| | | Medium | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | |
|  | Target Impact | C | 2 |
| | | Medium | Target Likelihood |
| Latest Progress | | Last Review Date | SMT Lead |
| 24 Sep 2010 New arrangement in place and working well with support for officers available on procurement issues. Procurement Strategy now under revision, with web pages being updated | | 24 Sep 2010 | Phil Long |



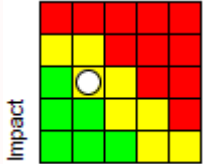
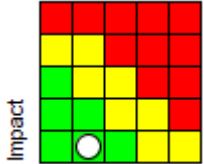
| CRR 07 Health and Safety | | | | |
|--|------------------------|---|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 07 | Health and Safety | Failure to ensure appropriate systems are in place to manage Health and safety |  | |
| Consequences | | Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident. | | |
| Original Matrix | | Original Rating Description | | |
|  | Original Impact | C | Original Likelihood | 3 |
| | | Medium | | Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  | Current Impact | C | Current Likelihood | 3 |
| | | Medium | | Likely |
| Target Risk Matrix | | Target Rating Description | | |
|  | Target Impact | B | Target Likelihood | 2 |
| | | Minor | | Not Likely |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Member and Officer training undertaken H and S policy framework in place Ownership across the organisation, roles and responsibilities clarified at all management levels. | | | 24 Sep 2010 | Phil Long |


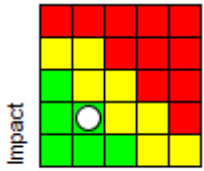
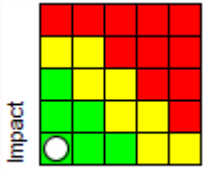
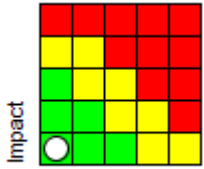
| CRR 08 Business Continuity Planning | | | | |
|--|------------------------------|--|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 08 | Business Continuity Planning | Failure to produce effective, comprehensive and tested plan. |  | |
| Consequences | | Failure in 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 | | |
|  <p>Impact</p> <p>Likelihood</p> | Original Impact | C | Original Likelihood | 3 |
| | | Medium | | Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Current Impact | C | Current Likelihood | 3 |
| | | Medium | | Likely |
| 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 |
| 27 September 2010 The Council is advancing the issue with the assistance of the North Yorkshire County Council. Details of the Council's current plans and procedures have been forwarded to NYCC and feedback is expected in officer meetings over the forthcoming months. | | | 24 Sep 2010 | Paul Cresswell |


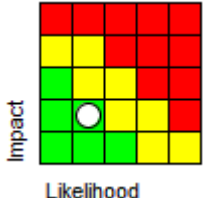
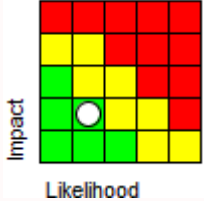
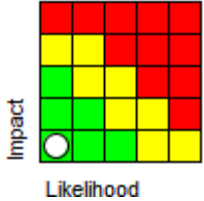
| CRR 09 Governance Arrangements | | | |
|---|-------------------------|------------------------------------|---|
| Risk Code | Risk Title | Description | Status |
| CRR 09 | Governance Arrangements | |  |
| Consequences | | | |
| Original Matrix | | Original Rating Description | |
|  Impact Likelihood | Original Impact | C | 2 |
| | | Medium | Original Likelihood |
| Current Risk Matrix | | Current Rating Description | |
|  Impact Likelihood | Current Impact | C | 2 |
| | | Medium | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | |
|  Impact Likelihood | Target Impact | C | 1 |
| | | Medium | Target Likelihood |
| Latest Progress | | | Last Review Date |
| The Council was working towards a score of three (Good) Corporate Governance through the Use of Resources Assessment however with the abolition of CAA, we await the auditors judgement on the councils corporate governance. | | | 24 Sep 2010 |
| | | | SMT Lead |
| | | | Anthony Winship |


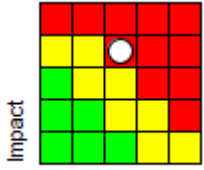


| CRR 10 Major Incident risk Flooding | | | | |
|--|------------------------------|--|----------------------------|---|
| Risk Code | Risk Title | Description | | Status |
| CRR 10 | Major Incident risk Flooding | Ensure the Council is prepared to deal with a major flooding incident to meet its obligation for Emergency Planning. | |  |
| Consequences | | Impact on local communities and service continuity. | | |
| Original Matrix | | Original Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Original Impact | C | Original Likelihood | |
| | | Medium | | 2 |
| | | Not Likely | | |
| Current Risk Matrix | | Current Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Current Impact | C | Current Likelihood | |
| | | Medium | | 1 |
| | | Very Low | | |
| Target Risk Matrix | | Target Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Target Impact | B | Target Likelihood | |
| | | Minor | | 2 |
| | | Not Likely | | |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Major incident plan in place, with training planned for November for all relevant officers | | | 24 Sep 2010 | 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 | | |
|  Likelihood | Original Impact | C | Original Likelihood | 4 |
| | | Medium | | Very Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  Likelihood | Current Impact | C | Current Likelihood | 2 |
| | | Medium | | Not Likely |
| Target Risk Matrix | | Target Rating Description | | |
|  Likelihood | Target Impact | B | Target Likelihood | 2 |
| | | Minor | | Not Likely |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Major investment made resulting in improved facilities at Ryedale House, and energy efficiency at Council offices and sports facilities. | | | 24 Sep 2010 | Phil Long |

| CRR 12 Customer Expectations | | | | |
|---|-----------------------|--|---|---------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 12 | Customer Expectations | Failure to meet customer service standards meet customer expectations. |  | |
| Consequences | | Include CR02 | | |
| Original Matrix | | Original Rating Description | | |
|  Impact Likelihood | | Original Impact | C | 2 |
| | | | Medium | Original Likelihood |
| Current Risk Matrix | | Current Rating Description | | |
|  Impact Likelihood | | Current Impact | C | 2 |
| | | | Medium | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | | |
|  Impact Likelihood | | Target Impact | A | 2 |
| | | | Low | Target Likelihood |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Managing customer expectations through media and communications, including budget consultation, in relation to funding challenges facing the public sector. | | | 28 Sep 2009 | Paul Cresswell |

| 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 | | |
|  <p>Impact</p> <p>Likelihood</p> | Original Impact | B | Original Likelihood | |
| | | Minor | | 2 |
| Current Risk Matrix | | Current Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Current Impact | A | Current Likelihood | |
| | | Low | | 1 |
| Target Risk Matrix | | Target Rating Description | | |
|  <p>Impact</p> <p>Likelihood</p> | Target Impact | A | Target Likelihood | |
| | | Low | | 1 |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Partnership arrangement with Veritau to deliver fraud and corruption service working well. | | | 24 Sep 2010 | Paul Cresswell |

| 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 | | |
| Current Risk Matrix | | Current Rating Description | | |
|  | Current Impact | B | Current Likelihood | 2 |
| | | Minor | | |
| Target Risk Matrix | | Target Rating Description | | |
|  | Target Impact | A | Target Likelihood | 1 |
| | | Low | | |
| Latest Progress | | | Last Review Date | SMT Lead |
| 24 Sep 2010 Data Quality Strategy in place and publicised to all staff. Data Quality procedures followed for year end production of performance indicators. Audit Partnership currently undertaking a Data Quality audit, the results of which will be available shortly | | | 28 Sep 2009 | 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 | 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 |
| 24 Sep 2010 On target to achieve savings as defined in the Council's Financial Strategy. Progress is monitored regularly through Resources Working Party using EMIS reporting. | | | 24 Sep 2010 | Paul Cresswell |