
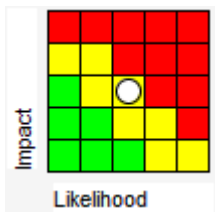
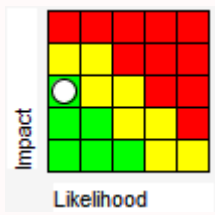
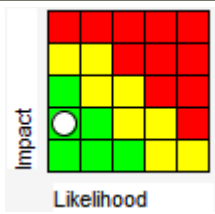


# Corporate Risk Management Plan


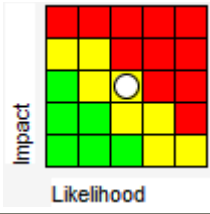
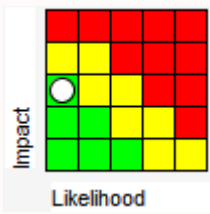
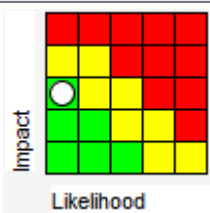
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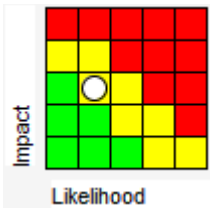
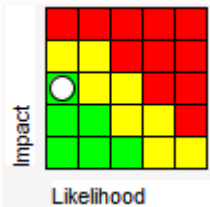
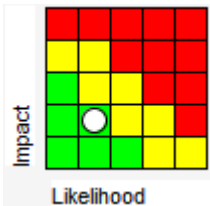
Risk Summary			Key	
Status	Code	Title	Risk Status	
	CRR 01	Significant Partnerships		OK
	CRR 02	Capital Programme		Warning
	CRR 03	Staff Management		Alert
	CRR 04	External Funding		Unknown
	CRR 05	Affordable Housing		
	CRR 06	Procurement		
	CRR 07	Health and Safety		
	CRR 08	Emergency Planning and Business Continuity Planning		
	CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.		
	CRR 11	Council Assets		
	CRR 12	Customer Expectations		
	CRR 13	Fraud and Corruption		
	CRR 14	Data Quality		
	CRR 15	Delivering Efficiencies		
	CRR 16	Data Protection		
	CRR 17	Regulation and Investigatory Powers Act		

CRR 01 Significant Partnerships					
Risk Code	Risk Title	Description	Status		
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively			
<b>Consequences</b>		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.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		Original Impact	C	Original Likelihood	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		Current Impact	C	Current Likelihood	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		Target Impact	B	Target Likelihood	1
			Minor		Very Low
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>	
08-Feb-2013 Following a reassessment of the Councils partnerships, there are currently two assessed as significant, North Yorkshire Building Control Partnership and Veritau.			24-Sep-2011	Clare Slater	


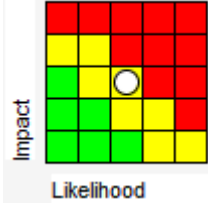
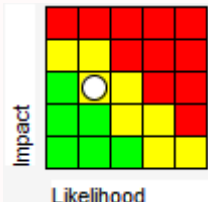
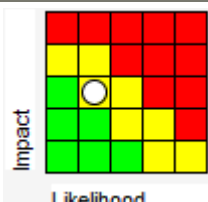
**CRR 02 Capital Programme**

Risk Code	Risk Title	Description	Status			
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.				
<b>Consequences</b>		Failure to deliver the Council priorities				
<b>Original Matrix</b>		<b>Original Rating Description</b>				
		<b>Original Impact</b>	<table border="1"> <tr> <td data-bbox="1135 405 1469 437">C</td> <td data-bbox="1473 405 1778 619" rowspan="2"><b>Original Likelihood</b></td> </tr> <tr> <td data-bbox="1135 440 1469 619">Medium</td> </tr> </table>	C	<b>Original Likelihood</b>	Medium
C	<b>Original Likelihood</b>					
Medium						
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>				
		<b>Current Impact</b>	<table border="1"> <tr> <td data-bbox="1135 665 1469 697">C</td> <td data-bbox="1473 665 1778 879" rowspan="2"><b>Current Likelihood</b></td> </tr> <tr> <td data-bbox="1135 700 1469 879">Medium</td> </tr> </table>	C	<b>Current Likelihood</b>	Medium
C	<b>Current Likelihood</b>					
Medium						
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>				
		<b>Target Impact</b>	<table border="1"> <tr> <td data-bbox="1135 925 1469 957">C</td> <td data-bbox="1473 925 1778 1139" rowspan="2"><b>Target Likelihood</b></td> </tr> <tr> <td data-bbox="1135 960 1469 1139">Medium</td> </tr> </table>	C	<b>Target Likelihood</b>	Medium
C	<b>Target Likelihood</b>					
Medium						
<b>Latest Progress</b>			<b>Last Review Date</b>			
08-Feb-2013 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects			24-Sep-2011			
			<b>SMT Lead</b>			
			Paul Cresswell			


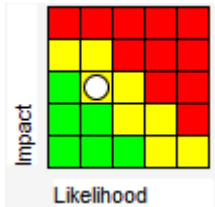
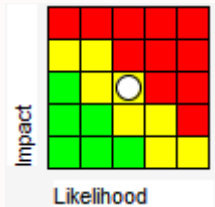
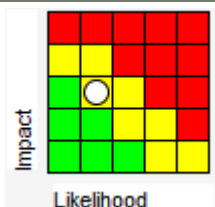
**CRR 03 Staff Management**

Risk Code	Risk Title	Description			Status
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
<b>Consequences</b>		Decline in employee performance and delivery			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Absence management working effectively. Ryedale was the best performing authority in North Yorkshire 2011/12, however there have been some incidences of longer term absence which will impact on the overall performance for the current year.				29-Sep-2011	Clare Slater


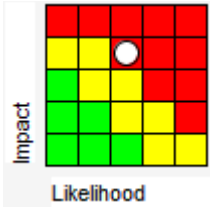
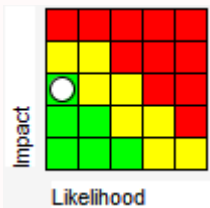
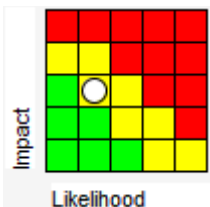
CRR 04 External Funding

Risk Code	Risk Title	Description		Status	
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council			
<b>Consequences</b>		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			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C  Medium	<b>Original Likelihood</b>	3  Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C  Medium	<b>Current Likelihood</b>	2  Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C  Medium	<b>Target Likelihood</b>	2  Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 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				24-Sep-2011	Paul Cresswell


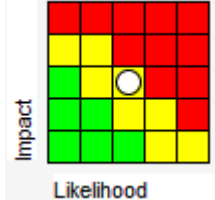
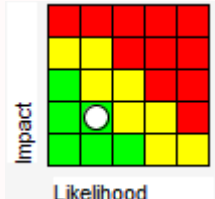
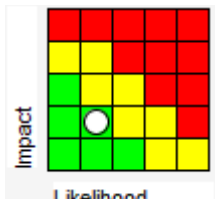
CRR 05 Affordable Housing

Risk Code	Risk Title	Description			Status
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale			
<b>Consequences</b>		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.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	3
			Medium		Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	2
			Medium		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Delivery of new affordable homes for this year stands at 75, this represents continued good performance given the current economic climate eg low build rates				24-Sep-2012	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			
<b>Consequences</b>		Failure to make efficiency savings. Priority projects not delivered to budget. Adverse external inspection. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	3	
			Major	<b>Original Likelihood</b>	Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	1	
			Medium	<b>Current Likelihood</b>	Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	2	
			Medium	<b>Target Likelihood</b>	Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets.				24-Sep-2011	Phil Long

CRR 07 Health and Safety


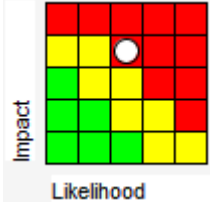
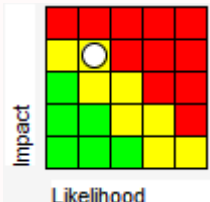
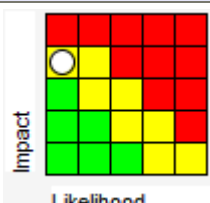
Risk Code	Risk Title	Description		Status	
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety			
<b>Consequences</b>		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	3	
			Medium	<b>Original Likelihood</b>	Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	2	
			Minor	<b>Current Likelihood</b>	Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	2	
			Minor	<b>Target Likelihood</b>	Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 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				24-Sep-2011	Clare Slater




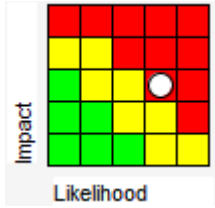
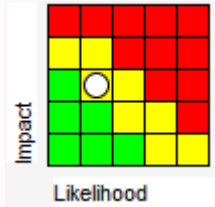
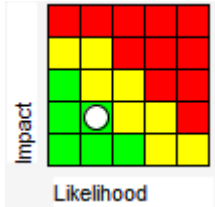
**CRR 08 Emergency Planning and Business Continuity Planning**

Risk Code	Risk Title	Description		Status	
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.			
<b>Consequences</b>		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	3	
			Medium	<b>Original Likelihood</b>	Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	B	2	
			Minor	<b>Current Likelihood</b>	Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	2	
			Minor	<b>Target Likelihood</b>	Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested.				24-Sep-2011	Paul Cresswell


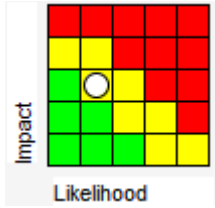
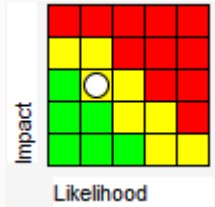
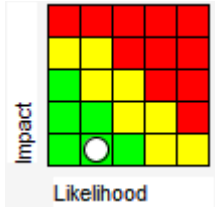
**CRR 09 Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.**

Risk Code	Risk Title	Description			Status
CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.				
<b>Consequences</b>		Adverse financial effect on the Council which could impact on Ryedale residents or require cuts to RDC services.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	3
			Major		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	D	<b>Current Likelihood</b>	2
			Major		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	D	<b>Target Likelihood</b>	1
			Major		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Update to reflect recent settlement?				23-Sep-2011	Paul Cresswell


CRR 11 Council Assets


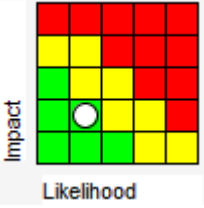
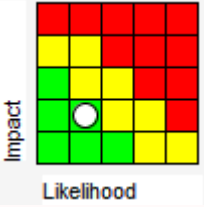
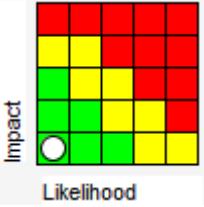
Risk Code	Risk Title	Description		Status	
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets			
<b>Consequences</b>					
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	4	
			Medium	<b>Original Likelihood</b>	Very Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	2	
			Medium	<b>Current Likelihood</b>	Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	2	
			Minor	<b>Target Likelihood</b>	Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Major investment has resulted in improved facilities with significant investment into energy efficiency measures to reduce Co2 emissions				24-Sep-2011	Phil Long

**CRR 12 Customer Expectations**


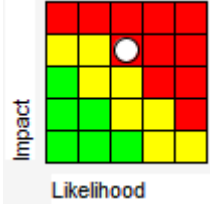
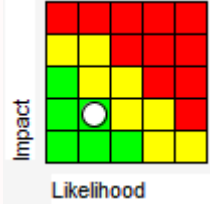
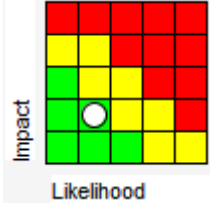
Risk Code	Risk Title	Description	Status	
CRR 12	Customer Expectations	Failure to meet customer service standards and meet customer expectations.		
<b>Consequences</b>		Include CR02		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	2
			Medium	<b>Original Likelihood</b>
		<b>Current Risk Matrix</b>		<b>Current Rating Description</b>
		<b>Current Impact</b>	C	2
			Medium	<b>Current Likelihood</b>
		<b>Target Risk Matrix</b>		<b>Target Rating Description</b>
		<b>Target Impact</b>	A	2
			Low	<b>Target Likelihood</b>
		<b>Latest Progress</b>		
08-Feb-2013 Managing customer expectations through media and communications in relation to funding challenges facing the public sector.			28-Sep-2011	Paul Cresswell

**CRR 13 Fraud and Corruption**


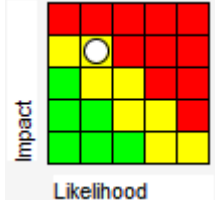
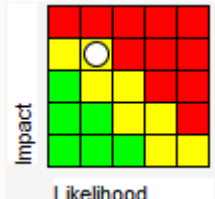
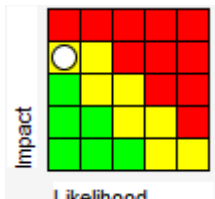
Risk Code	Risk Title	Description		Status	
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.			
<b>Consequences</b>		Financial loss to the Council, damage to our reputation and credibility			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	B	<b>Original Likelihood</b>	2
			Minor		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	A	<b>Current Likelihood</b>	1
			Low		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	A	<b>Target Likelihood</b>	1
			Low		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Arrangement with Veritau working well to deliver fraud and corruption service for Housing Benefit, currency of fraud and corruption policy maintained and training provided to managers.				24-Sep-2011	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		
<b>Consequences</b>				
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		Original Impact	B	Original Likelihood
			Minor	
Not Likely				
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		Current Impact	B	Current Likelihood
			Minor	
Not Likely				
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		Target Impact	A	Target Likelihood
			Low	
Very Low				
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome			28-Sep-2011	Clare Slater

**CRR 15 Delivering Efficiencies**


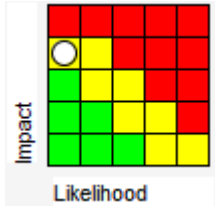
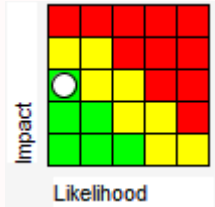
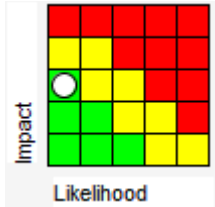
Risk Code	Risk Title	Description		Status
CRR 15	Delivering Efficiencies	Council fails to meet efficiency targets which necessitates cuts to other services		
<b>Consequences</b>		Cuts to frontline services, reputational damage to the Council, possible poor outcome of external inspection.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	D	3
			Major	<b>Original Likelihood</b> Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	B	2
			Minor	<b>Current Likelihood</b> Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	<b>Target Likelihood</b> Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>
08-Feb-2013 Successful delivery of One-11 programme achieving savings of over £1 million. Going for Gold programme underway with significant efficiencies achieved to contribute to the target saving of £700k. A balanced budget has been prepared for 2013/14.				<b>SMT Lead</b> 24-Sep-2011 Paul Cresswell

**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.			
<b>Consequences</b>		Legal action resulting in large fines (£100k-£500k). Reputational damage and adverse publicity.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	2
			Major		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	D	<b>Current Likelihood</b>	2
			Major		Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	D	<b>Target Likelihood</b>	1
			Major		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
08-Feb-2013 Data Protection added to the Corporate Risk Register in April 2012.  A range of data protection policies are available to all staff on the intranet, in addition to regular updates based on current cases. <a href="http://intranet.ryedale.gov.uk/Default.aspx?page=6859">http://intranet.ryedale.gov.uk/Default.aspx?page=6859</a>				23-Apr-2012	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		
<b>Consequences</b>		That the Council is found to be in breach of the legislation.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	D	1
			Major	<b>Original Likelihood</b>
		<b>Current Risk Matrix</b>		<b>Current Rating Description</b>
		<b>Current Impact</b>	C	1
			Medium	<b>Current Likelihood</b>
		<b>Target Risk Matrix</b>		<b>Target Rating Description</b>
		<b>Target Impact</b>	C	1
			Medium	<b>Target Likelihood</b>
		<b>Latest Progress</b>		
08-Feb-2013 The Council has policies and procedures in place to enable it to meet the requirements of the legislation. The Council has not had any cases reported to the Information Commissioner			08-Feb-2013	Paul Cresswell