

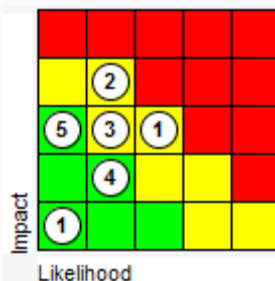
Corporate Risk Register 2013-17

Generated on: 31 January 2014



Corporate Risk Register 2013-17

Current Risk Matrix


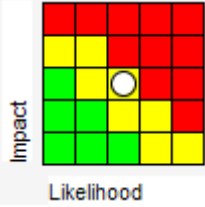
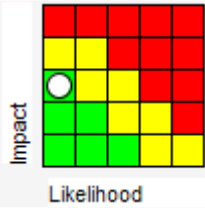
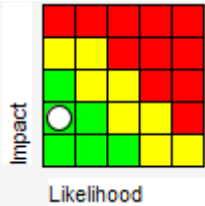


Status	Code	Title			
	CRR 01	Significant Partnerships			CRR 09 Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.
	CRR 02	Capital Programme			CRR 11 Council Assets
	CRR 03	Staff Management			CRR 12 Customer Expectations
	CRR 04	External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


Key

Risk Status


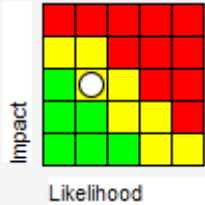
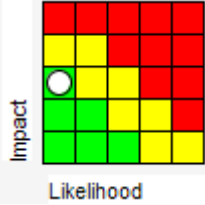
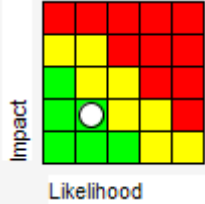
	OK
	Warning
	Alert
	Unknown

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		
		C	Original Likelihood	3
		Medium		Likely
Current Risk Matrix		Current Rating Description		
		C	Current Likelihood	1
		Medium		Very Low
Target Risk Matrix		Target Rating Description		
		B	Target Likelihood	1
		Minor		Very Low
Latest Progress			Last Review Date	SMT Lead
03-Feb-2014 The recent audit of partnerships was concluded with an outcome of high assurance			03-Feb-2014	Clare Slater


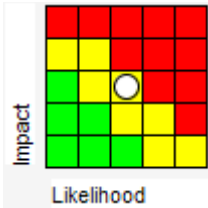
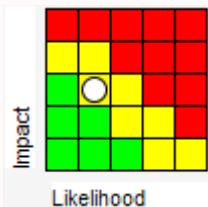
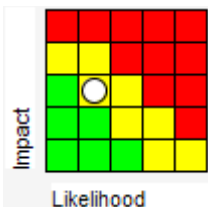
CRR 02 Capital Programme

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
03-Feb-2014 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects. Capital Programme updated with budget approval in February each year.				03-Feb-2014	Paul Cresswell


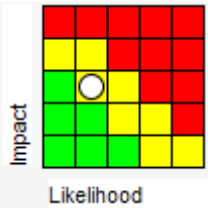
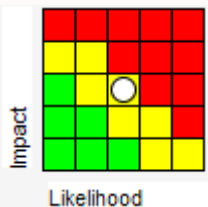
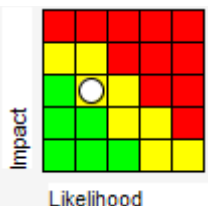
CRR 03 Staff Management

Risk Code	Risk Title	Description		Status	
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
Consequences		Decline in employee performance and delivery			
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	1
			Medium		Very Low
Target Risk Matrix		Target Rating Description			
		Target Impact	B	Target Likelihood	2
			Minor		Not Likely
Latest Progress				Last Review Date	SMT Lead
03-Feb-2014 Absence management is working effectively in relation to short term absences.				03-Feb-2014	Clare Slater


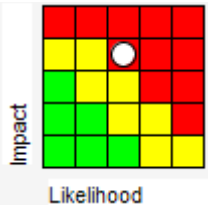
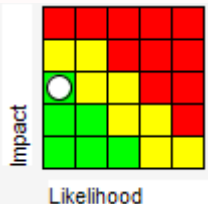
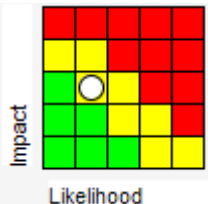
CRR 04 External Funding

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	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	C	Target Likelihood	2
			Medium		Not Likely
Latest Progress			Last Review Date	SMT Lead	
03-Feb-2014 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. Secondment of senior officer to support the LEP and develop Ryedale involvement in the sub region. Unallocated New Homes Bonus Funding placed into reserve with options to use as match funding.			03-Feb-2014	Paul Cresswell	


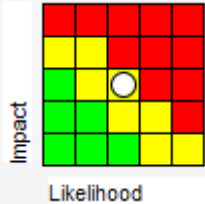
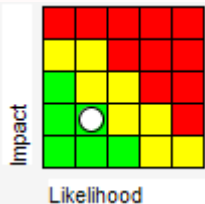
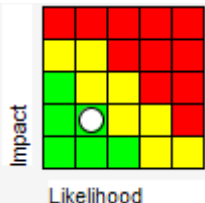
CRR 05 Affordable Housing

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 Medium	Original Likelihood	2 Not Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	C Medium	Current Likelihood	3 Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	C Medium	Target Likelihood	2 Not Likely
Latest Progress				Last Review Date	SMT Lead
03-Feb-2014 Delivery of new affordable homes for 2012/13 was 95 affordable homes see Delivering the Council Plan report for further detail.				03-Feb-2014	Gary Housden


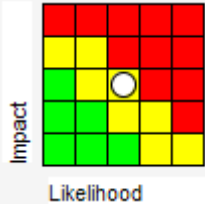
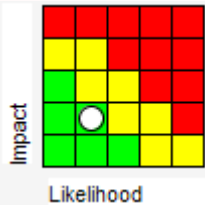
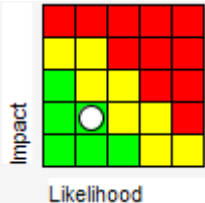
CRR 06 Procurement

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 eg. equalities or health and safety. Damage to RDC reputation.		
Original Matrix		Original Rating Description		
		Original Impact	D	3
			Major	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	C	2
			Medium	Target Likelihood Not Likely
Latest Progress			Last Review Date	SMT Lead
03-Feb-2014 Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets. Significant procurement exercise underway in relation to the Leisure Contract, external support contracted to assist.			03-Feb-2014	Phil Long


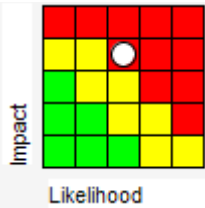
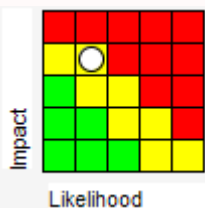
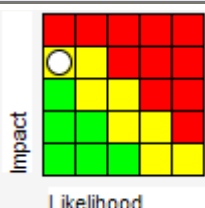
CRR 07 Health and Safety

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	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
03-Feb-2014 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.				03-Feb-2014	Clare Slater


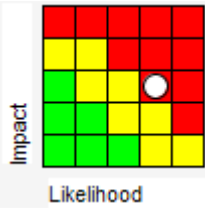
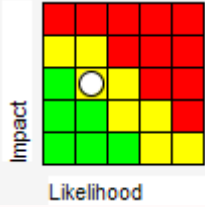
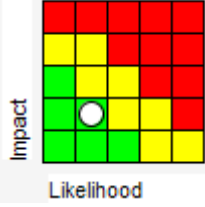
CRR 08 Emergency Planning and Business Continuity Planning


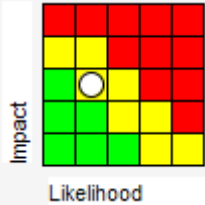
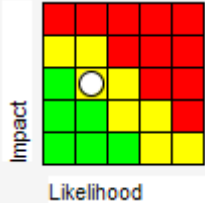
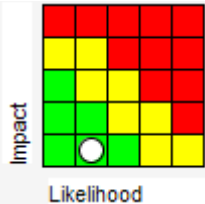
Risk Code	Risk Title	Description		Status	
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.			
Consequences		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation			
Original Matrix		Original Rating Description			
		Original Impact	C	Original Likelihood	3
			Medium		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
03-Feb-2014 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested.				03-Feb-2014	Paul Cresswell

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


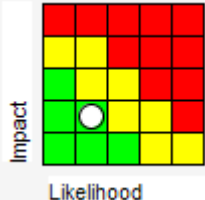
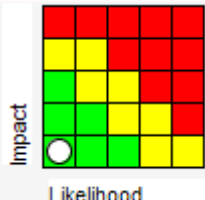
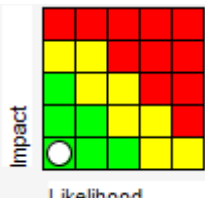
Risk Code	Risk Title	Description		Status	
CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.			
Consequences		Adverse financial effect on the Council which could impact on Ryedale residents or require cuts to RDC services.			
Original Matrix		Original Rating Description			
		Original Impact	D	Original Likelihood	3
			Major		Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	D	Current Likelihood	2
			Major		Not Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	D	Target Likelihood	1
			Major		Very Low
Latest Progress				Last Review Date	SMT Lead
03-Feb-2014 Significant changes are being proposed by the government to materially affect the financing and responsibilities of RDC. Officers working at national level through relevant treasurer societies and networks. Joint discussions underway within North Yorkshire and the region. Responses submitted to all relevant consultations.				03-Feb-2014	Paul Cresswell

CRR 11 Council Assets


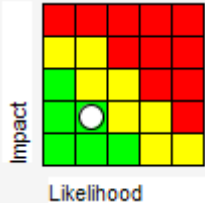
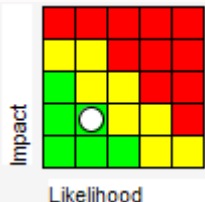
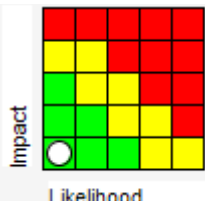
Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	
Consequences			
Original Matrix		Original Rating Description	
	Original Impact	C	4
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	C	2
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress			Last Review Date
03-Feb-2014 Multi disciplinary Asset Management Group is working effectively			03-Feb-2014
			SMT Lead
			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.		
Consequences		Include CR02		
Original Matrix		Original Rating Description		
		Original Impact	C	Original Likelihood
		Medium		2
				Not Likely
Current Risk Matrix		Current Rating Description		
		Current Impact	C	Current Likelihood
		Medium		2
				Not Likely
Target Risk Matrix		Target Rating Description		
		Target Impact	A	Target Likelihood
		Low		2
				Not Likely
Latest Progress			Last Review Date	SMT Lead
03-Feb-2014 Managing customer expectations through media and communications in relation to funding challenges facing the public sector.			03-Feb-2014	Paul Cresswell


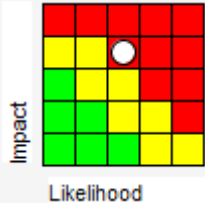
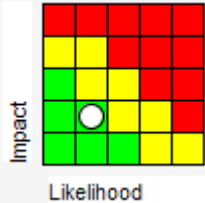
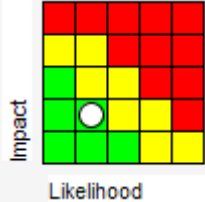
CRR 13 Fraud and Corruption

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			
		Original Impact	B	Original Likelihood	2
			Minor		Not Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	A	Current Likelihood	1
			Low		Very Low
Target Risk Matrix		Target Rating Description			
		Target Impact	A	Target Likelihood	1
			Low		Very Low
Latest Progress				Last Review Date	SMT Lead
03-Feb-2014 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				03-Feb-2014	Paul Cresswell


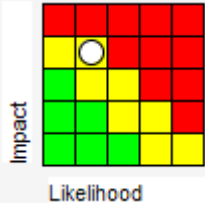
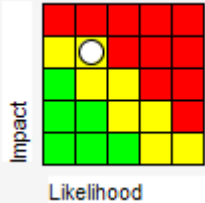
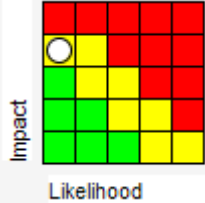
CRR 14 Data Quality

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		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
03-Feb-2014 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome					03-Feb-2014	Clare Slater


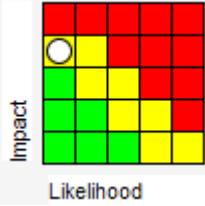
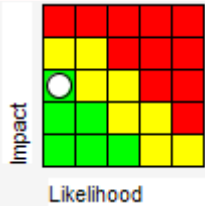
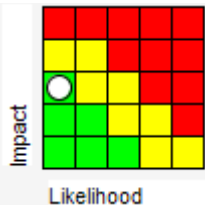
CRR 15 Delivering Efficiencies

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
03-Feb-2014 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. Round 3 delivered £721k. A balanced budget agreed for 2014/15 incorporating further £170k efficiencies.				03-Feb-2014	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.			
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	D	Current Likelihood	2
			Major		Not Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	D	Target Likelihood	1
			Major		Very Low
Latest Progress				Last Review Date	SMT Lead
03-Feb-2014 A range of data protection policies are available to all staff on the intranet, in addition to regular updates based on current cases. Positive response to internal audit and training for all staff being undertaken				03-Feb-2014	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	1
			Major		Very Low
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
03-Feb-2014 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. Training undertaken with all managers in line with regulations.				03-Feb-2014	Paul Cresswell