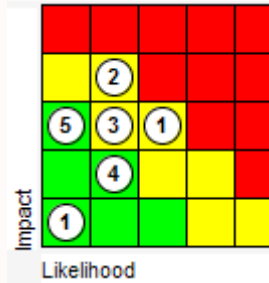


Corporate Risk Register 2013-17

















Generated on: 16 October 2014


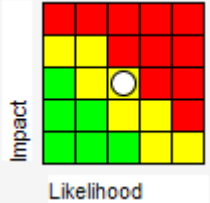
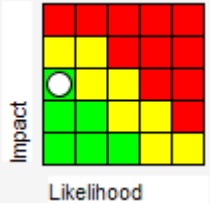
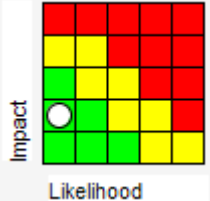
Corporate Risk Register 2014-2018

Current Risk Heat Map


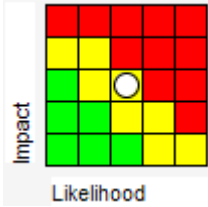
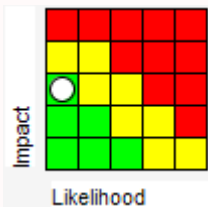
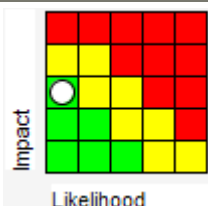


Summary


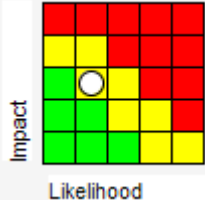
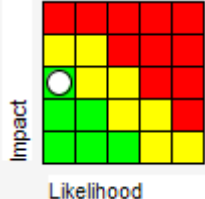
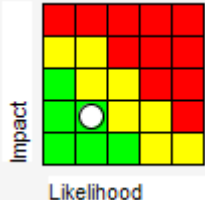
Status	Code	Title	Status	Code	Title
	CRR 01	Significant Partnerships		CRR 11	Council Assets
	CRR 02	Capital Programme		CRR 12	Customer Expectations
	CRR 03	Staff Management		CRR 13	Fraud and Corruption
	CRR 04	External Funding		CRR 14	Data Quality
	CRR 05	Affordable Housing		CRR 15	Delivering Efficiencies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

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	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	B	Target Likelihood	1
		Minor		Very Low
Latest Progress			Last Review Date	SMT Lead
15-Oct-2014 The Audit of Partnerships which concluded with an outcome of high assurance did raise a query about the governance arrangements for the LEP. This is an issue which is being discussed currently.			24-Sep-2011	Clare Slater


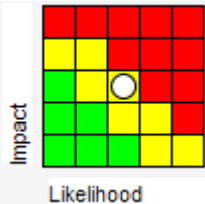
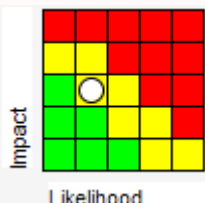
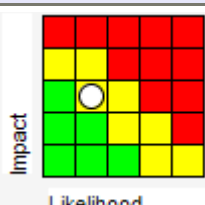
CRR 02 Capital Programme

Risk Code	Risk Title	Description		Status	
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.			
Consequences		Failure to deliver the Council priorities			
Original Matrix		Original Rating Description			
		Original Impact	C	3	
			Medium	Original Likelihood	Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	C	1	
			Medium	Current Likelihood	Very Low
Target Risk Matrix		Target Rating Description			
		Target Impact	C	1	
			Medium	Target Likelihood	Very Low
Latest Progress				Last Review Date	SMT Lead
15-Oct-2014 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects. Funding for the programme from 2015/16 onwards will be reliant on £300k draw down from NHB annually.				15-Oct-2014	Peter Johnson


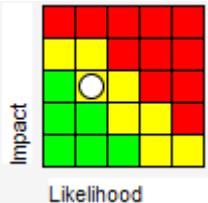
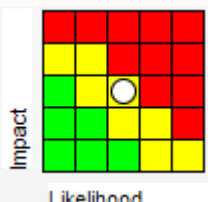
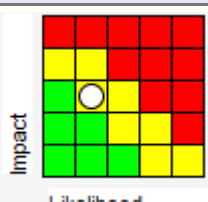
CRR 03 Staff Management


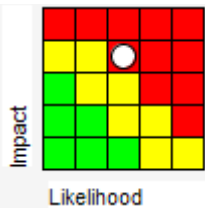
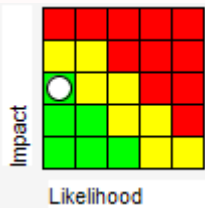
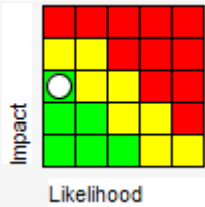
Risk Code	Risk Title	Description		Status	
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
Consequences		Decline in employee performance and delivery of service			
Original Matrix		Original Rating Description			
		Original Impact	C	Original Likelihood	2
			Medium		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
15-Oct-2014 Absence management is ongoing with performance reported monthly to Management Team and Quarterly to Members in the Council Business Plan report				15-Oct-2014	Clare Slater

CRR 04 External Funding


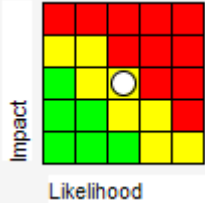
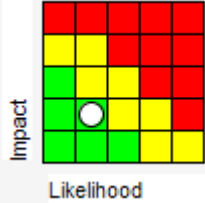
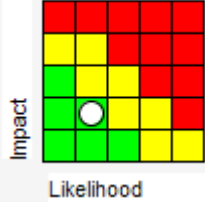
Risk Code	Risk Title	Description	Status		
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council			
Consequences		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. 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	
<p>15-Oct-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.</p> <p>Increasingly Local Government is to be resourced through Business Rates retention and New Homes Bonus with less emphasis on Revenue Support Grant. As a result of this variables such as any successful Business Rate Appeals will have an impact on the Councils finances.</p>			15-Oct-2014	Peter Johnson	

CRR 05 Affordable Housing


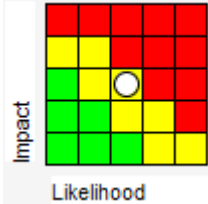
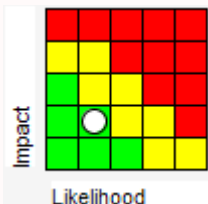
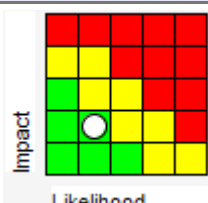
Risk Code	Risk Title	Description	Status	
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale		
Consequences		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community. Local people forced to move away from Ryedale.		
Original Matrix		Original Rating Description		
		Original Impact	C	2
			Medium	Original Likelihood
Current Risk Matrix		Current Rating Description		
		Current Impact	C	3
			Medium	Current Likelihood
Target Risk Matrix		Target Rating Description		
		Target Impact	C	2
			Medium	Target Likelihood
Latest Progress			Last Review Date	SMT Lead
15-Oct-2014 Delivery of new affordable homes for 2013/14 was 40 affordable homes see Delivering the Council Plan report for further detail.			15-Oct-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	Original Likelihood	3
		Major		Likely
Current Risk Matrix		Current Rating Description		
	Current Impact	C	Current Likelihood	1
		Medium		Very Low
Target Risk Matrix		Target Rating Description		
	Current Impact	C	Current Likelihood	1
		Medium	Not Likely	
Latest Progress			Last Review Date	SMT Lead
15-Oct-2014 Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets.			15-Oct-2014	Phil Long


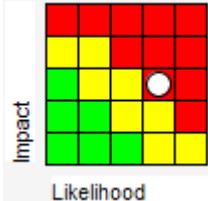
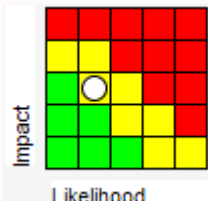
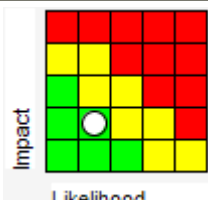
CRR 07 Health and Safety


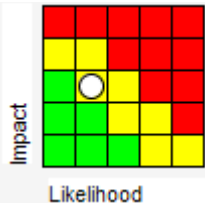
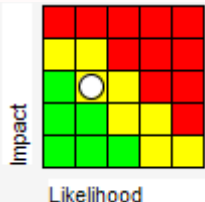
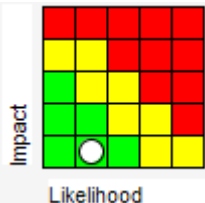
Risk Code	Risk Title	Description		Status	
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety			
Consequences		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.			
Original Matrix		Original Rating Description			
		Original Impact	C	3	
			Medium	Original Likelihood	Likely
Current Risk Matrix		Current Rating Description			
		Current Impact	B	2	
			Minor	Current Likelihood	Not Likely
Target Risk Matrix		Target Rating Description			
		Target Impact	B	2	
			Minor	Target Likelihood	Not Likely
Latest Progress				Last Review Date	SMT Lead
15-Oct-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				15-Oct-2014	Steve Richmond

CRR 08 Emergency Planning and Business Continuity Planning


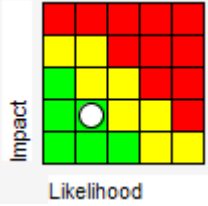
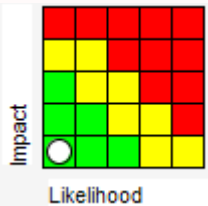
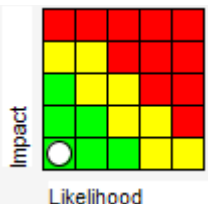
Risk Code	Risk Title	Description		Status	
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.			
Consequences		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. 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
15-Oct-2014 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested.				15-Oct-2014	Phil Long

CRR 11 Council Assets


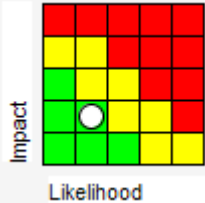
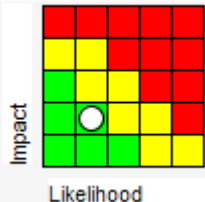
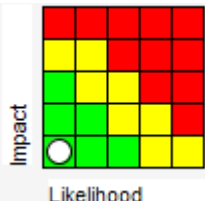
Risk Code	Risk Title	Description			Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets			
Consequences					
Original Matrix		Original Rating Description			
		Original Impact	C	Original Likelihood	4
			Medium		Very Likely
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
15-Oct-2014 Major investment has resulted in improved facilities with significant investment into energy efficiency measures to reduce Co2 emissions				15-Oct-2014	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				
Original Matrix		Original Rating Description		
		Original Impact	C	2
			Medium	Original Likelihood
Current Risk Matrix		Current Rating Description		
		Current Impact	C	2
			Medium	Current Likelihood
Target Risk Matrix		Target Rating Description		
		Target Impact	A	2
			Low	Target Likelihood
Latest Progress			Last Review Date	SMT Lead
15-Oct-2014 Managing customer expectations through media and communications in relation to funding challenges facing the public sector. Close monitoring of feedback received by the Council from service users and residents.			28-Sep-2011	Clare Slater


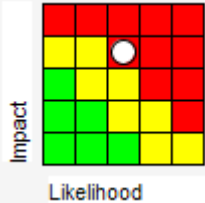
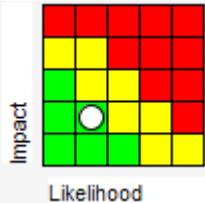
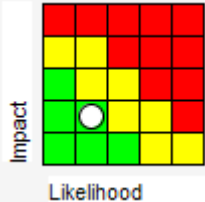
CRR 13 Fraud and Corruption

Risk Code	Risk Title	Description			Status
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.			
Consequences		Financial loss to the Council, damage to our reputation and credibility			
Original Matrix		Original Rating Description			
		Original Impact	B	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
15-Oct-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				24-Sep-2011	Peter Johnson


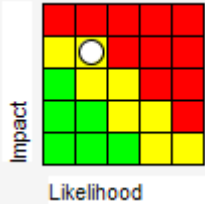

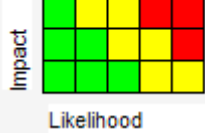
CRR 14 Data Quality

Risk Code	Risk Title	Description			Status	
CRR 14	Data Quality	The Council recognises the importance of data quality as we need reliable, accurate and timely performance information with which to manage services, inform users and account for our performance				
Consequences						
Original Matrix			Original Rating Description			
			Original Impact	B	Original Likelihood	2
				Minor		Not Likely
Current Risk Matrix			Current Rating Description			
			Current Impact	B	Current Likelihood	2
				Minor		Not Likely
Target Risk Matrix			Target Rating Description			
			Target Impact	A	Target Likelihood	1
				Low		Very Low
Latest Progress					Last Review Date	SMT Lead
15-Oct-2014 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome					15-Oct-2014	Clare Slater


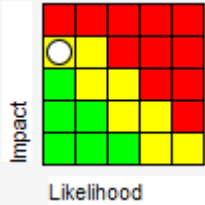
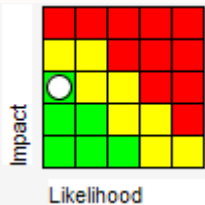
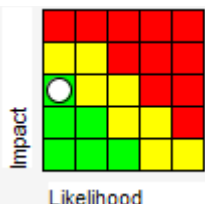
CRR 15 Delivering Efficiencies

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							
		<table border="1"> <tr> <td>Original Impact</td> <td>D</td> <td rowspan="2">Original Likelihood</td> <td>3</td> </tr> <tr> <td></td> <td>Major</td> <td>Likely</td> </tr> </table>	Original Impact	D	Original Likelihood	3		Major	Likely
Original Impact	D	Original Likelihood	3						
	Major		Likely						
Current Risk Matrix		Current Rating Description							
		<table border="1"> <tr> <td>Current Impact</td> <td>B</td> <td rowspan="2">Current Likelihood</td> <td>2</td> </tr> <tr> <td></td> <td>Minor</td> <td>Not Likely</td> </tr> </table>	Current Impact	B	Current Likelihood	2		Minor	Not Likely
Current Impact	B	Current Likelihood	2						
	Minor		Not Likely						
Target Risk Matrix		Target Rating Description							
		<table border="1"> <tr> <td>Target Impact</td> <td>B</td> <td rowspan="2">Target Likelihood</td> <td>2</td> </tr> <tr> <td></td> <td>Minor</td> <td>Not Likely</td> </tr> </table>	Target Impact	B	Target Likelihood	2		Minor	Not Likely
Target Impact	B	Target Likelihood	2						
	Minor		Not Likely						
Latest Progress			Last Review Date						
15-Oct-2014 Successful delivery of One-11 programme achieved savings of over £1 million. Going for Gold programme achieved the target saving of £700k. A balanced budget delivered in 2013/14 and in place for 2014/15. Budget strategy being prepared for 2015/16 including £100k of efficiencies and service cuts or increased income of £200k with a forecast shortfall of £432k met from New Homes Bonus.			15-Oct-2014						
			SMT Lead						
			Peter Johnson						

CRR 16 Data Protection

Risk Code	Risk Title	Description			Status
CRR 16	Data Protection	To ensure the Council meets all of its statutory obligations relating to the protection of personal and confidential data.			
Consequences		Legal action resulting in large fines (£100k-£500k). Reputational damage and adverse publicity.			
Original Matrix		Original Rating Description			
		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
15-Oct-2014 A range of data protection policies are available to all staff on the intranet, in addition to regular updates based on current cases. http://intranet.ryedale.gov.uk/Default.aspx?page=6859				15-Oct-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
15-Oct-2014 key responsibilities allocated to members of Management team and training undertaken.				08-Feb-2013	Phil Long