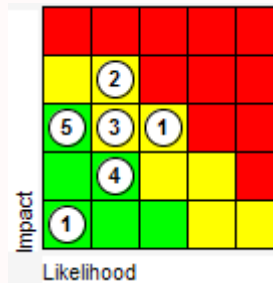


Corporate Risk Register 2013-17

















Generated on: 09 January 2015


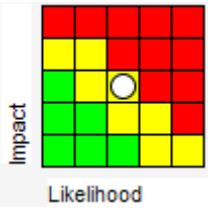
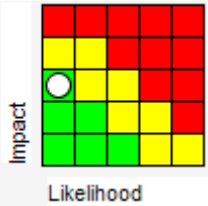
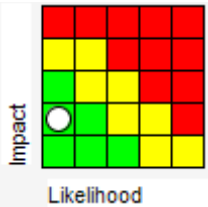
Corporate Risk Register 2014-2018


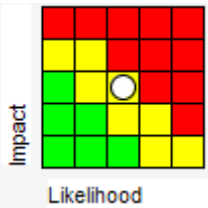
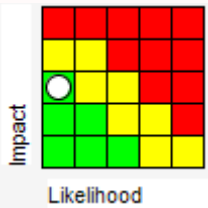
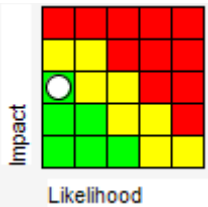
Current Risk Heat Map




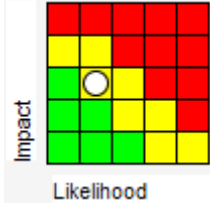
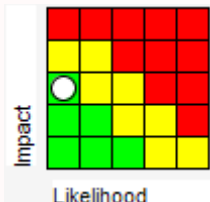
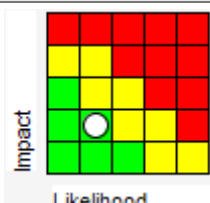
Summary

| 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 | Member Training |


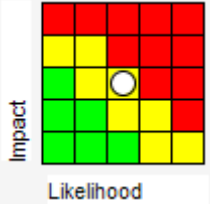
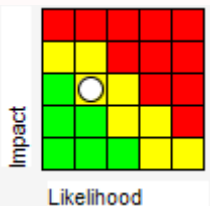
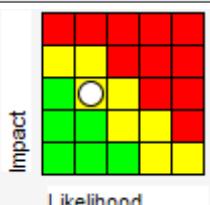
| CRR 01 Significant Partnerships | | | | |
|--|--------------------------|--|---|---------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 01 | Significant Partnerships | That the Council fails to manage its partnerships effectively |  | |
| Consequences | | Financial cost to 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 | SMT Lead |
| 9-Jan-2015 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. | | | 9-Jan-2015 | Clare Slater |


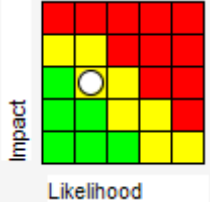
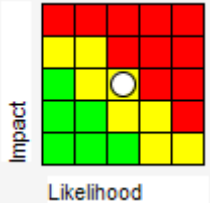
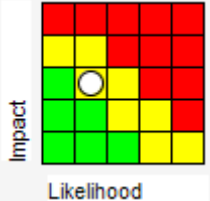
| CRR 02 Capital Programme | | | | |
|--|-------------------|---|---|---------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 02 | Capital Programme | Failure to deliver Council priorities, due to poor management of the capital programme. |  | |
| Consequences | | Failure to deliver the Council priorities | | |
| Original Matrix | | Original Rating Description | | |
|  | | Original Impact | C | Original Likelihood |
| | | | Medium | |
| Likely | | | | |
| Current Risk Matrix | | Current Rating Description | | |
|  | | Current Impact | C | Current Likelihood |
| | | | Medium | |
| Very Low | | | | |
| Target Risk Matrix | | Target Rating Description | | |
|  | | Target Impact | C | Target Likelihood |
| | | | Medium | |
| Very Low | | | | |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 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. | | | 9-Jan-2015 | Peter Johnson |


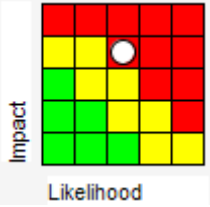
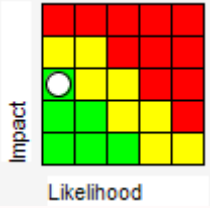
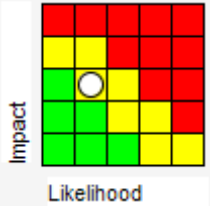
CRR 03 Staff Management


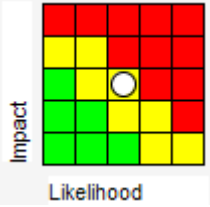
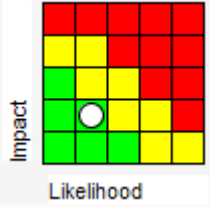
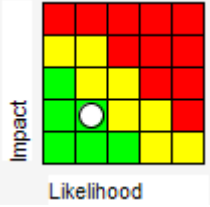
| Risk Code | Risk Title | Description | | | Status |
|---|------------------|--|--------|----------------------------|---|
| CRR 03 | Staff Management | Failure to effectively manage and develop our workforce assets | | |  |
| Consequences | | Decline in employee performance and delivery of services with the consequential failure to deliver the Councils priorities | | | |
| 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 |
| 9-Jan-2015 Absence management is ongoing with performance reported monthly to Management Team and Quarterly to Members in the Council Business Plan report. | | | | 9-Jan-2015 | Clare Slater |


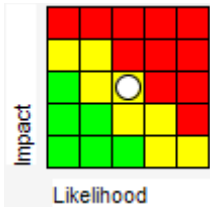
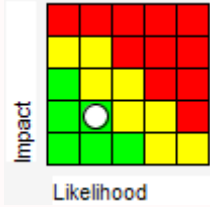
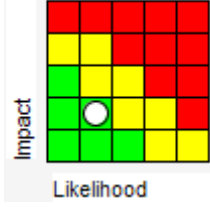
CRR 04 External Funding


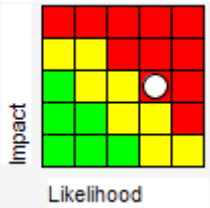
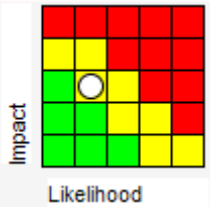
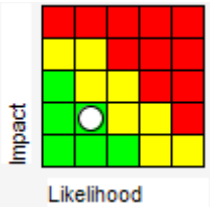
| Risk Code | Risk Title | Description | | | Status |
|---|------------------|--|--------|----------------------------|---|
| CRR 04 | External Funding | Failure to attract external funding to support the priorities of the Council | | |  |
| Consequences | | Failure to deliver Council priorities requiring 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 |
| 9-Jan-2015 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. 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. | | | | 9-Jan-2015 | 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 | | |
|  | | C | Original Likelihood | 2 |
| | | Medium | | Not Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  | | C | Current Likelihood | 3 |
| | | Medium | | Likely |
| Target Risk Matrix | | Target Rating Description | | |
|  | | C | Target Likelihood | 2 |
| | | Medium | | Not Likely |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 Delivery of new affordable homes for 2013/14 was 40 affordable homes see Delivering the Council Plan report for further detail. | | | 9-Jan-2015 | Gary Housden |


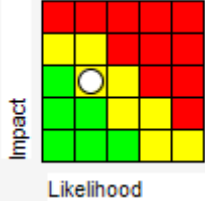
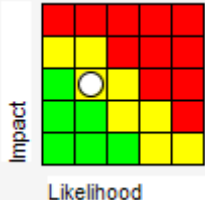
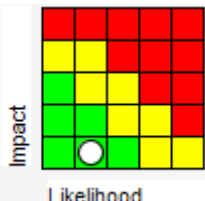
| CRR 06 Procurement | | | | |
|---|-------------|--|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 06 | Procurement | Failure to procure in line with legislation and in line with best value principles |  | |
| Consequences | | Failure to make efficiency savings. Priority 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 | | |
|  | | D | Original Likelihood | 3 |
| | | Major | | Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  | | C | Current Likelihood | 1 |
| | | Medium | | Very Low |
| Target Risk Matrix | | Target Rating Description | | |
|  | | C | Target Likelihood | 2 |
| | | Medium | | Not Likely |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets. | | | 9-Jan-2015 | Phil Long |


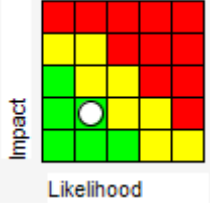
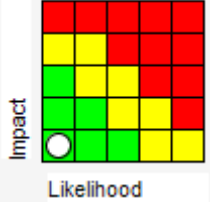
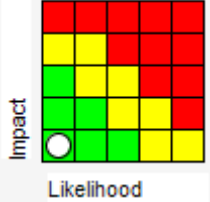
| CRR 07 Health and Safety | | | |
|---|------------------------|---|---|
| Risk Code | Risk Title | Description | Status |
| CRR 07 | Health and Safety | Failure to ensure appropriate systems are in place to manage Health and safety |  |
| Consequences | | Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident. | |
| Original Matrix | | Original Rating Description | |
|  | Original Impact | C | 3 |
| | | Medium | Original Likelihood |
| Current Risk Matrix | | Current Rating Description | |
|  | Current Impact | B | 2 |
| | | Minor | Current Likelihood |
| Target Risk Matrix | | Target Rating Description | |
|  | Target Impact | B | 2 |
| | | Minor | Target Likelihood |
| 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 |
| | | | Medium | |
| Current Risk Matrix | | Current Rating Description | | |
|  | | Current Impact | B | Current Likelihood |
| | | | Minor | |
| Target Risk Matrix | | Target Rating Description | | |
|  | | Target Impact | B | Target Likelihood |
| | | | Minor | |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested. | | | 9-Jan-2015 | Phil Long |


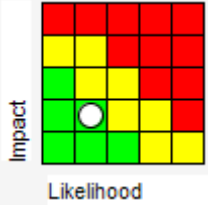
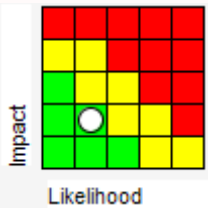
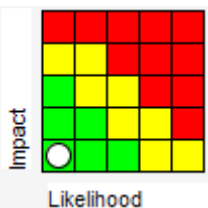
| CRR 11 Council Assets | | | | |
|---|-----------------|--|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 11 | Council Assets | Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets |  | |
| Consequences | | | | |
| Original 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 |
| 9-Jan-2015 Major investment has resulted in improved facilities with significant investment into energy efficiency measures to reduce Co2 emissions | | | 9-Jan-2015 | Phil Long |


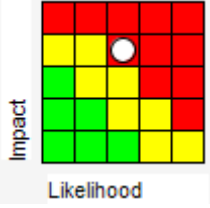
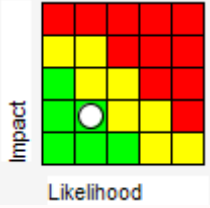
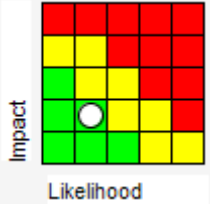
CRR 12 Customer Expectations


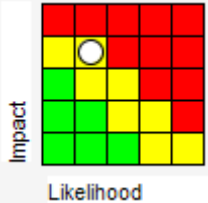
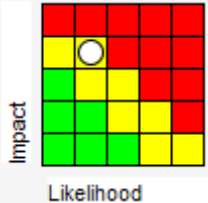
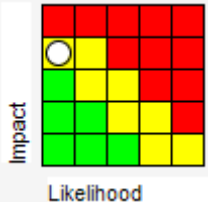
| Risk Code | Risk Title | Description | | | Status |
|---|-----------------------|--|--------|----------------------------|---|
| CRR 12 | Customer Expectations | Failure to meet customer service standards and meet customer expectations. | | |  |
| Consequences | | Include CR02 | | | |
| Original Matrix | | Original Rating Description | | | |
|  | | Original Impact | C | Original Likelihood | 2 |
| | | | Medium | | Not Likely |
| Current Risk Matrix | | Current Rating Description | | | |
|  | | Current Impact | C | Current Likelihood | 2 |
| | | | Medium | | Not Likely |
| Target Risk Matrix | | Target Rating Description | | | |
|  | | Target Impact | A | Target Likelihood | 2 |
| | | | Low | | Not Likely |
| Latest Progress | | | | Last Review Date | SMT Lead |
| 9-Jan-2015 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. | | | | 9-Jan-2015 | Clare Slater |


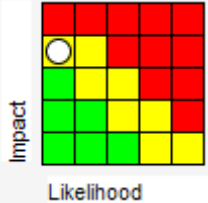
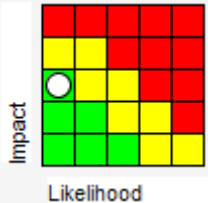
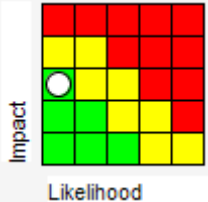
| CRR 13 Fraud and Corruption | | | | |
|--|----------------------|---|---|----------------------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 13 | Fraud and Corruption | Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud. |  | |
| Consequences | | Financial loss to the Council, damage to our reputation and credibility | | |
| Original Matrix | | Original Rating Description | | |
|  | | Original Impact | B | Original Likelihood |
| | | | Minor | |
| | | | | Not Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  | | Current Impact | A | Current Likelihood |
| | | | Low | |
| | | | | Very Low |
| Target Risk Matrix | | Target Rating Description | | |
|  | | Target Impact | A | Target Likelihood |
| | | | Low | |
| | | | | Very Low |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 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 | | | 9-Jan-2015 | Peter Johnson |


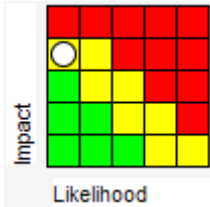
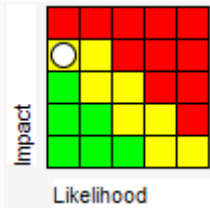
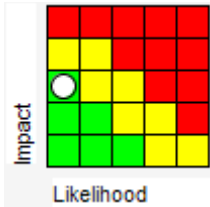
CRR 14 Data Quality

| 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 |
| 9-Jan-2015 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome | | | | | 9-Jan-2015 | 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 | Original Likelihood |
| | | D | 3 |
| | | Major | Likely |
| Current Risk Matrix | | Current Rating Description | |
|  | | Current Impact | Current Likelihood |
| | | B | 2 |
| | | Minor | Not Likely |
| Target Risk Matrix | | Target Rating Description | |
|  | | Target Impact | Target Likelihood |
| | | B | 2 |
| | | Minor | Not Likely |
| Latest Progress | | Last Review Date | SMT Lead |
| 9-Jan-2015 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 the shortfall of £432k met from New Homes Bonus. | | 9-Jan-2015 | 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 | | |
|  | | D | | 2 |
| | | Major | Original Likelihood | Not Likely |
| Current Risk Matrix | | Current Rating Description | | |
|  | | D | | 2 |
| | | Major | Current Likelihood | Not Likely |
| Target Risk Matrix | | Target Rating Description | | |
|  | | D | | 1 |
| | | Major | Target Likelihood | Very Low |
| Latest Progress | | Last Review Date | SMT Lead | |
| 9-Jan-2015 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 | | 9-Jan-2015 | 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. | | | 15-Oct-2014 | Phil Long |

| CRR 18 Member Development | | | | |
|--|------------------------|---|---|-----------------|
| Risk Code | Risk Title | Description | Status | |
| CRR 18 | Member Development | That members of the council do not have the opportunity to develop the skills and competencies to ensure they participate in robust decision making |  | |
| Consequences | | That the Council is found to be in breach of the legislation or a decision is found to be unsound, the council is unable to deliver its priorities. | | |
| Original Matrix | | Original Rating Description | | |
|  | Original Impact | D | Original Likelihood | 1 |
| | | Major | | Very Low |
| Current Risk Matrix | | Current Rating Description | | |
|  | Current Impact | D | Current Likelihood | 1 |
| | | Major | | Very Low |
| Target Risk Matrix | | Target Rating Description | | |
|  | Target Impact | C | Target Likelihood | 1 |
| | | Medium | | Very Low |
| Latest Progress | | | Last Review Date | SMT Lead |
| 9-Jan-2015 Member development programme in place and managed effectively by member working party. Competency framework in place with programme in place to reflect the skills and knowledge required and help to | | | 9 January 2015 | Janet Waggott |

ensure that Members have access to relevant training. Induction programme being planned to ensure that any new members elected in May 2015 have effective and relevant induction and any statutory training required to enable participation in decision making and to ensure this is robust.

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