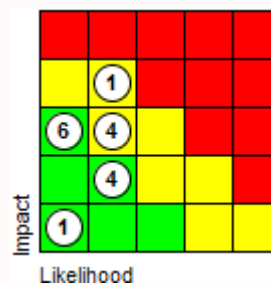


Corporate Risk Register 2015-18

Generated on: 15 September 2015


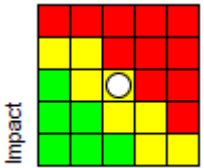
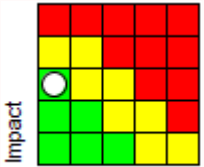

Corporate Risk Register 2015-2018


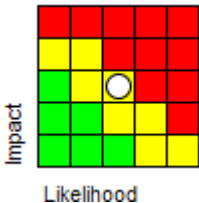
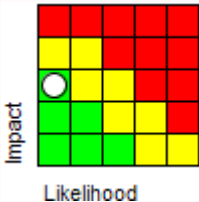
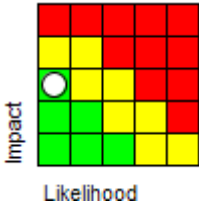
Current Risk Heat Map







Summary




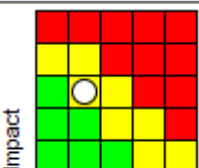
Status	Code	Title	Status	Code	Title
	CRR 01	Significant Partnerships		CRR 11	Council Assets
	CRR 02	Capital Programme		CRR 12	Customer Expectations
	CRR 03	Staff Management		CRR 13	Fraud and Corruption
	CRR 04	External Funding		CRR 14	Data Quality
	CRR 05	Affordable Housing		CRR 15	Delivering Efficiencies
	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


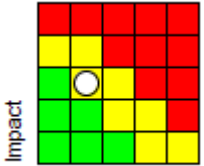

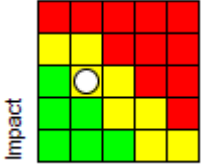
CRR 01 Significant Partnerships				
Risk Code	Risk Title	Description	Status	
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively		
Consequences		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.		
Original Matrix		Original Rating Description		
	Original Impact	C	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
14-Sep-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 in light of the discussions about any future Combined Authorities in Yorkshire .			14-Sep-2015	Clare Slater


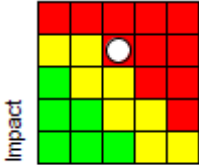


CRR 02 Capital Programme				
Risk Code	Risk Title	Description	Status	
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.		
Consequences		Failure to deliver the Council priorities		
Original Matrix		Original Rating Description		
	Original Impact	C	Original Likelihood	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
14-Sep-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.			14-Sep-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	
Original Matrix		Original Rating Description	
 Likelihood	Original Impact	C	2
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
 Likelihood	Current Impact	C	1
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
 Likelihood	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
14-Sep-2015: Absence management is ongoing with performance reported to Management Team and Quarterly to Members in the Council Business Plan report. Service redesign to achieve efficiencies is a key element of the Towards 2020 transformation programme.		14-Sep-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	
14-Sep-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, however contingency has been made for appeals in the Budget.			14-Sep-2015	Peter Johnson	


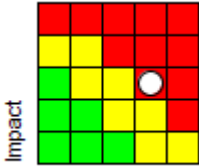

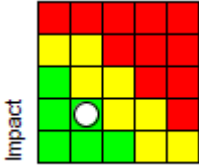
CRR 05 Affordable Housing				
Risk Code	Risk Title	Description	Status	
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale		
Consequences		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community. Local people forced to move away from Ryedale.		
Original Matrix		Original Rating Description		
	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	C	Target Likelihood	2
		Medium		Not Likely
Latest Progress			Last Review Date	SMT Lead
14-Sep-2015: Delivery of new affordable homes is linked to the delivery of new homes. Projected housing delivery for 2014/15 was 260 and net homes delivered was 261, with 67 affordable homes delivered. Projected housing delivery for 2015/16 is 263 homes and for 2016/17 361. Ryedale has the highest delivery for new homes and affordable housing in the sub region, along with Selby. See Delivering the Council Plan report for further detail.			14-Sep-2015	Gary Housden




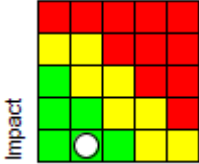
CRR 06 Procurement			
Risk Code	Risk Title	Description	Status
CRR 06	Procurement	Failure to procure in line with legislation and in line with best value principles	
Consequences		Failure to make efficiency savings. Priority projects not delivered to budget. Adverse external inspection. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.	
Original Matrix		Original Rating Description	
	Original Impact	D	3
		Major	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	C	1
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	C	2
		Medium	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
14-Sep-2015: Procurement Partnership established and the service received by the Council is working well with savings being achieved in line with efficiency targets.		14-Sep-2015	Phil Long


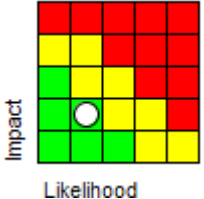
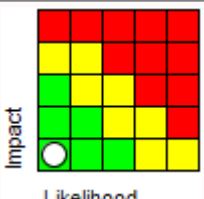
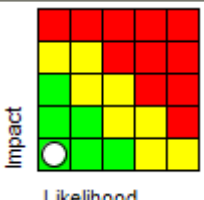
CRR 07 Health and Safety




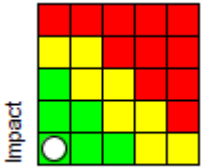
Risk Code	Risk Title	Description	Status					
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety						
Consequences		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.						
Original Matrix		Original Rating Description						
		Original Impact	<table border="1"> <tr> <td data-bbox="1140 400 1473 437">C</td> <td data-bbox="1478 400 1787 437" rowspan="2">Original Likelihood</td> <td data-bbox="1789 400 2130 437">3</td> </tr> <tr> <td data-bbox="1140 440 1473 611">Medium</td> <td data-bbox="1789 440 2130 611">Likely</td> </tr> </table>	C	Original Likelihood	3	Medium	Likely
C	Original Likelihood			3				
Medium		Likely						
Current Risk Matrix		Current Rating Description						
		Current Impact	<table border="1"> <tr> <td data-bbox="1140 654 1473 691">B</td> <td data-bbox="1478 654 1787 691" rowspan="2">Current Likelihood</td> <td data-bbox="1789 654 2130 691">2</td> </tr> <tr> <td data-bbox="1140 694 1473 865">Minor</td> <td data-bbox="1789 694 2130 865">Not Likely</td> </tr> </table>	B	Current Likelihood	2	Minor	Not Likely
B	Current Likelihood			2				
Minor		Not Likely						
Target Risk Matrix		Target Rating Description						
		Target Impact	<table border="1"> <tr> <td data-bbox="1140 908 1473 944">B</td> <td data-bbox="1478 908 1787 944" rowspan="2">Target Likelihood</td> <td data-bbox="1789 908 2130 944">2</td> </tr> <tr> <td data-bbox="1140 948 1473 1118">Minor</td> <td data-bbox="1789 948 2130 1118">Not Likely</td> </tr> </table>	B	Target Likelihood	2	Minor	Not Likely
B	Target Likelihood			2				
Minor		Not Likely						
Latest Progress		Last Review Date	SMT Lead					
14-Sep-2015: Member and officer training undertaken. Health and Safety policy framework in place. Ownership across the organisation, roles and responsibilities have been clarified at all levels of management. All working effectively		14-Sep-2015	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	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
14-Sep-2015: Emergency planning arrangements in place and tested. Training undertaken for all staff. Comprehensive Business Continuity Planning in place and fully tested.		14-Sep-2015	Phil Long


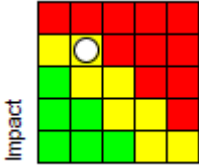
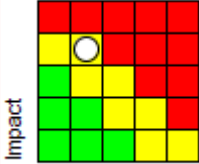

CRR 11 Council Assets			
Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	
Consequences			
Original Matrix		Original Rating Description	
 Likelihood	Original Impact	C	4
		Medium	Original Likelihood
Current Risk Matrix		Current Rating Description	
 Likelihood	Current Impact	C	2
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
 Likelihood	Target Impact	B	2
		Minor	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
14-Sep-2015: The supporting service has been redesign to make efficiencies in the way the service is delivered. Effective asset management arrangements are a key strand of the Towards 2020 programme.		14-Sep-2015	Phil Long



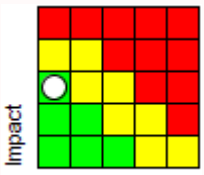
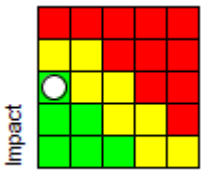
CRR 12 Customer Expectations				
Risk Code	Risk Title	Description	Status	
CRR 12	Customer Expectations	Failure to meet customer service standards and meet customer expectations.		
Consequences		Include CR02		
Original Matrix		Original Rating Description		
 <p style="text-align: center;">Likelihood</p>	Original Impact	C	Original Likelihood	
		Medium		2
		Not Likely		
Current Risk Matrix		Current Rating Description		
 <p style="text-align: center;">Likelihood</p>	Current Impact	C	Current Likelihood	
		Medium		2
		Not Likely		
Target Risk Matrix		Target Rating Description		
 <p style="text-align: center;">Likelihood</p>	Target Impact	A	Target Likelihood	
		Low		2
		Not Likely		
Latest Progress			Last Review Date	SMT Lead
14-Sep-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.			14-Sep-2015	Clare Slater


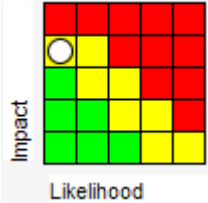
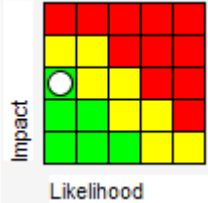
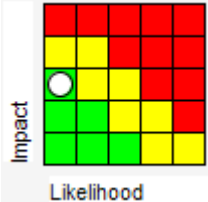
CRR 13 Fraud and Corruption				
Risk Code	Risk Title	Description	Status	
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.		
Consequences		Financial loss to the Council, damage to our reputation and credibility		
Original Matrix		Original Rating Description		
	Original Impact	B	Original Likelihood	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
14-Sep-2015: All Housing Benefit related fraud work will move from LA's to the DWP Single Fraud Investigation Service (SFIS) in April 2016. Arrangements in place with Veritau for them to support the Councils corporate approach to managing risk and identifying fraud.			14-Sep-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
14-Sep-2015: Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome			14-Sep-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	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
<p>14-Sep-2015: The Chief Executive has launched the Towards 2020 transformation programme at the staff briefings in July. The aim of the programme is to achieve savings of £1.2 million by April 2019, subject to any details in the Chancellors autumn statement. The budget Strategy being prepared for 2016/17 will deliver the first year of savings and efficiencies for this programme.</p> <p>The launch of this latest programme follows the successful delivery of One-11 programme achieved savings of over £1 million, the Going for Gold programme achieved the target saving of £700k and a balanced budget was delivered in 2013/14 and 2014/15. The budget strategy agreed for 2015/16 included £100k of efficiencies and service cuts or increased income of £200k with the shortfall of £432k met from New Homes Bonus.</p>			14-Sep-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		
	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
14-Sep-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			14-Sep-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
<p>14-Sep-2015: Key responsibilities allocated to members of Management team and training undertaken. Policies and guidance are up to date on the Council website.</p> <p>An inspection was carried out in June 2015, the Council is currently implementing the four recommendations made in the final report.</p>			14-Sep-2015	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	1
		Major	Original Likelihood
Current Risk Matrix		Current Rating Description	
	Current Impact	C	1
		Medium	Current Likelihood
Target Risk Matrix		Target Rating Description	
	Target Impact	C	1
		Medium	Target Likelihood
Latest Progress		Last Review Date	SMT Lead
14-Sep-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 ensure that Members have access to relevant training. Induction programme delivered 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.		14-Sep-2015	Janet Waggott

