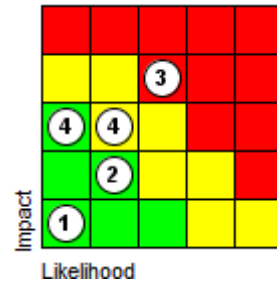


# Corporate Risk Register


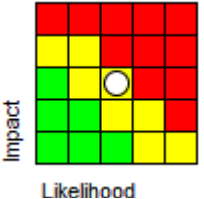
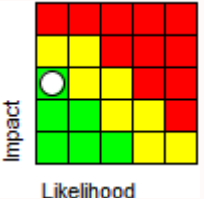
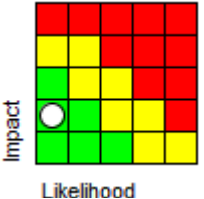
Generated on: 23 September 2011

## Corporate Risk Register





### Current Risk Heat Map





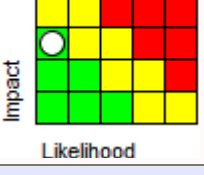
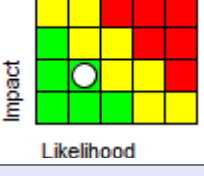
Status	Code	Title	Key										
	CRR 01	Significant Partnerships	<table border="1"> <thead> <tr> <th colspan="2">Risk Status</th> </tr> </thead> <tbody> <tr> <td></td> <td>OK</td> </tr> <tr> <td></td> <td>Warning</td> </tr> <tr> <td></td> <td>Alert</td> </tr> <tr> <td></td> <td>Unknown</td> </tr> </tbody> </table>	Risk Status			OK		Warning		Alert		Unknown
Risk Status													
	OK												
	Warning												
	Alert												
	Unknown												
	CRR 02	Capital Programme											
	CRR 03	Staff Management											
	CRR 04	External Funding											
	CRR 05	Affordable Housing											
	CRR 06	Procurement											
	CRR 07	Health and Safety											
	CRR 08	Emergency Planning and Business Continuity Planning											
	CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council											
	CRR 11	Council Assets											
	CRR 12	Customer Expectations											
	CRR 13	Fraud and Corruption											
	CRR 14	Data Quality											
	CRR 15	Delivering Efficiencies											

CRR 01 Significant Partnerships				
Risk Code	Risk Title	Description		Status
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively		
<b>Consequences</b>		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
	<b>Original Impact</b>	C	<b>Original Likelihood</b>	3
		Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
	<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
		Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
	<b>Target Impact</b>	B	<b>Target Likelihood</b>	1
		Minor		Very Low
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2011 All partnerships identified as significant being managed by Management Team in line with the Councils Partnership Protocol.			24-Sep-2011	Clare Slater



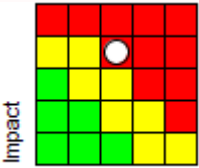
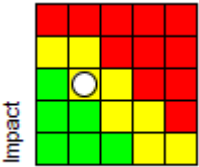
CRR 02 Capital Programme

Risk Code	Risk Title	Description		Status	
CRR 02	Capital Programme	Failure to deliver Council priorities, due to poor management of the capital programme.			
<b>Consequences</b>		Failure to deliver the Council priorities			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	3
			Medium		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	1
			Medium		Very Low
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2011 Progress monitoring embedded in the work of Resources Working Party, who receive bi-monthly reports with highlight reporting on individual projects				24-Sep-2011	Trevor Anderson


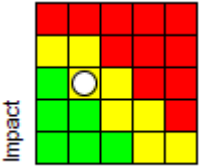

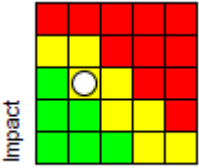
**CRR 03 Staff Management**

Risk Code	Risk Title	Description			Status
CRR 03	Staff Management	Failure to effectively manage and develop our workforce assets			
<b>Consequences</b>		Decline in employee performance and delivery			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C	<b>Original Likelihood</b>	2
			Medium		Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	B	<b>Target Likelihood</b>	2
			Minor		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
20-Sep-2011 Further HR Policies and Procedures to be reviewed as part of the proposed Vision for RDC.				29-Sep-2011	Barrie May



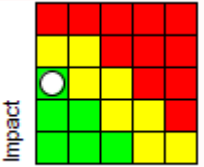

CRR 04 External Funding

Risk Code	Risk Title	Description		Status	
CRR 04	External Funding	Failure to attract external funding to support the priorities of the Council			
<b>Consequences</b>		Failure to deliver Council priorities requiring major financial investment. Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	C  Medium	<b>Original Likelihood</b>	3  Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	D  Major	<b>Current Likelihood</b>	3  Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C  Medium	<b>Target Likelihood</b>	2  Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
24-Sep-2010 Uncertainty in relation to withdrawal of regional funding agencies and cessation of funding streams				24-Sep-2011	Trevor Anderson


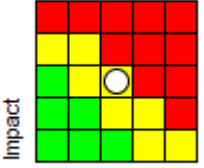
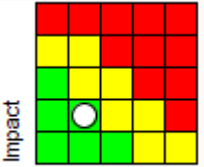

CRR 05 Affordable Housing

Risk Code	Risk Title	Description	Status	
CRR 05	Affordable Housing	Failure to meet identified housing need in Ryedale		
<b>Consequences</b>		Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	2
			Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	D	3
			Major	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	C	2
			Medium	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
<p>01-Feb-2011 A range of Housing Initiatives have recently been agreed by the Commissioning Board to support the delivery of affordable housing in Ryedale including:                      partnership arrangements to continue the Rural Housing Enabler activity in Ryedale beyond September 2011;</p> <ul style="list-style-type: none"> <li>the appointment of a new Housing Development Officer to maximise delivery of affordable housing in Ryedale;</li> <li>investigations into a new build facility to provide supported accommodation for homeless younger people in Ryedale;</li> <li>the extension of the Ryedale Mortgage Rescue Scheme to 2013.</li> </ul>			24-Sep-2011	Gary Housden; Julian Rudd

CRR 06 Procurement



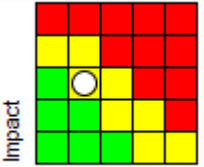

Risk Code	Risk Title	Description		Status	
CRR 06	Procurement	Failure to procure in line with legislation and in line with best value principles			
<b>Consequences</b>		Failure to make efficiency savings. Priority projects not delivered to budget. Adverse external inspection. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	D	<b>Original Likelihood</b>	3
			Major		Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	C	<b>Current Likelihood</b>	1
			Medium		Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	C	<b>Target Likelihood</b>	2
			Medium		Not Likely
<b>Latest Progress</b>				<b>Last Review Date</b>	<b>SMT Lead</b>
21-Sep-2011 Partnership arrangements are embedded and have contributed to substantial procurement efficiency savings and legislative compliance				24-Sep-2011	Phil Long


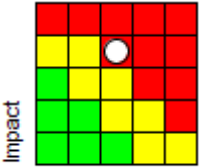
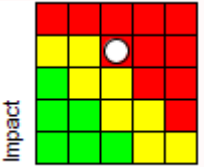
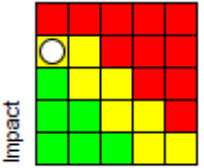
CRR 07 Health and Safety

Risk Code	Risk Title	Description	Status	
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety		
<b>Consequences</b>		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	<b>Original Likelihood</b> Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	B	2
			Minor	<b>Current Likelihood</b> Not Likely
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	<b>Target Likelihood</b> Not Likely
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
20-Sep-2011 A range of training undertaken with staff eg: Team of Emergency First Aiders trained. Fire Warden Training completed. Work station assessments completed. Corporate Safety Alert System launched using contact management section of EDMS. Loan working and personal safety procedure. Health and Safety JCC meeting regularly Process of updating all policies and procedures thus ensuring they comply with current and relevant legislation.			24-Sep-2011	Barrie May







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





Risk Code	Risk Title	Description	Status	
CRR 08	Emergency Planning and Business Continuity Planning	Failure to produce effective, comprehensive and tested plan.		
<b>Consequences</b>		Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation		
<b>Original Matrix</b>		<b>Original Rating Description</b>		
		<b>Original Impact</b>	C	3
			Medium	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>		
		<b>Current Impact</b>	C	2
			Medium	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>		
		<b>Target Impact</b>	B	2
			Minor	<b>Target Likelihood</b>
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2011 Emergency planning arrangements in place and tested. Training undertaken for all staff. Work ongoing with NYCC to develop comprehensive BCP. All service impact assessments completed. Testing to be undertaken			24-Sep-2011	Paul Cresswell

CRR 09 Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.			
Risk Code	Risk Title	Description	Status
CRR 09	Failure to influence the proposed changes to the national framework for the resourcing of Ryedale District Council.		
<b>Consequences</b>		Adverse financial effect on the Council which could impact on Ryedale residents or require cuts to RDC services.	
<b>Original Matrix</b>		<b>Original Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Original Impact</b>	D	3
		Major	<b>Original Likelihood</b>
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Current Impact</b>	D	3
		Major	<b>Current Likelihood</b>
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	
 <p>Impact</p> <p>Likelihood</p>	<b>Target Impact</b>	D	1
		Major	<b>Target Likelihood</b>
<b>Latest Progress</b>		<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2011 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.		23-Sep-2011	Paul Cresswell





**CRR 11 Council Assets**

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





**CRR 12 Customer Expectations**

Risk Code	Risk Title	Description	Status						
CRR 12	Customer Expectations	Failure to meet customer service standards and meet customer expectations.							
<b>Consequences</b>		Include CR02							
<b>Original Matrix</b>		<b>Original Rating Description</b>							
		<b>Original Impact</b>	<table border="1"> <tr> <td data-bbox="1131 399 1467 438">C</td> <td data-bbox="1467 399 1780 438"></td> <td data-bbox="1780 399 2134 438">2</td> </tr> <tr> <td data-bbox="1131 438 1467 614">Medium</td> <td data-bbox="1467 438 1780 614"><b>Original Likelihood</b></td> <td data-bbox="1780 438 2134 614">Not Likely</td> </tr> </table>	C		2	Medium	<b>Original Likelihood</b>	Not Likely
C		2							
Medium	<b>Original Likelihood</b>	Not Likely							
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>							
		<b>Current Impact</b>	<table border="1"> <tr> <td data-bbox="1131 654 1467 694">C</td> <td data-bbox="1467 654 1780 694"></td> <td data-bbox="1780 654 2134 694">2</td> </tr> <tr> <td data-bbox="1131 694 1467 869">Medium</td> <td data-bbox="1467 694 1780 869"><b>Current Likelihood</b></td> <td data-bbox="1780 694 2134 869">Not Likely</td> </tr> </table>	C		2	Medium	<b>Current Likelihood</b>	Not Likely
C		2							
Medium	<b>Current Likelihood</b>	Not Likely							
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>							
		<b>Target Impact</b>	<table border="1"> <tr> <td data-bbox="1131 909 1467 949">A</td> <td data-bbox="1467 909 1780 949"></td> <td data-bbox="1780 909 2134 949">2</td> </tr> <tr> <td data-bbox="1131 949 1467 1125">Low</td> <td data-bbox="1467 949 1780 1125"><b>Target Likelihood</b></td> <td data-bbox="1780 949 2134 1125">Not Likely</td> </tr> </table>	A		2	Low	<b>Target Likelihood</b>	Not Likely
A		2							
Low	<b>Target Likelihood</b>	Not Likely							
<b>Latest Progress</b>			<b>Last Review Date</b>						
23-Sep-2011 Managing customer expectations through media and communications, including budget consultation, in relation to funding challenges facing the public sector.			28-Sep-2011						
			<b>SMT Lead</b>						
			Paul Cresswell						



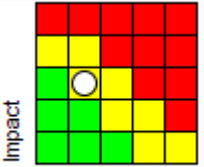

**CRR 13 Fraud and Corruption**

Risk Code	Risk Title	Description	Status		
CRR 13	Fraud and Corruption	Failure to ensure Council has proper procedures and policies for the prevention and detection of fraud.			
<b>Consequences</b>		Financial loss to the Council, damage to our reputation and credibility			
<b>Original Matrix</b>		<b>Original Rating Description</b>			
		<b>Original Impact</b>	<b>Original Likelihood</b>	B	2
				Minor	Not Likely
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>			
		<b>Current Impact</b>	<b>Current Likelihood</b>	A	1
				Low	Very Low
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>			
		<b>Target Impact</b>	<b>Target Likelihood</b>	A	1
				Low	Very Low
<b>Latest Progress</b>			<b>Last Review Date</b>	<b>SMT Lead</b>	
23-Sep-2011 Arrangement with Veritau working well to deliver fraud and corruption service for Housing Benefit, currency of fraud and corruption policy maintained and training provided to managers.			24-Sep-2011	Paul Cresswell	

**CRR 14 Data Quality**

Risk Code	Risk Title	Description			Status	
CRR 14	Data Quality	The Council recognises the importance of data quality as we need reliable, accurate and timely performance information with which to manage services, inform users and account for our performance				
<b>Consequences</b>						
<b>Original Matrix</b>			<b>Original Rating Description</b>			
			<b>Original Impact</b>	B	<b>Original Likelihood</b>	2
				Minor		Not Likely
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>			
			<b>Current Impact</b>	B	<b>Current Likelihood</b>	2
				Minor		Not Likely
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>			
			<b>Target Impact</b>	A	<b>Target Likelihood</b>	1
				Low		Very Low
<b>Latest Progress</b>					<b>Last Review Date</b>	<b>SMT Lead</b>
23-Sep-2011 Data Quality Strategy in place and publicised to all staff. Audit of Data Quality undertaken with positive outcome					28-Sep-2011	Clare Slater

**CRR 15 Delivering Efficiencies**

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