

Appendix A - Craven Risk Assessment Model -Risk Register updated June 2014

No.	Current/ deleted	Service Unit	Sub-unit	Potential Risks and Consequences What Might Happen?	Hazards What are the causes?	Risk Likeli- hood 1-5 where 1 is low	Risk Impac- t 1-5 where 1 is low	Raw Score as identified in CRAM	Risk Control Measures currently in place	Risk Likeli- hood 1- 5 where 1 is low	Risk Impac- t 1-5 where 1 is low	Total Score -Taking account of current control measures	Do Risk Control Measures currently in place reduce the Risk sufficiently	Additional Measures that could be implemented to reduce the Risk further	Resource Requireme- nt	Planned implemen- tation date	Officer responsibl- e
29 (prev 255)	Current	Director of Services	Information Services	Lack of in house expertise, general capacity issues in coping with demands made on the service both externally /internally leading to inability to deliver full IT and other services. Non compliance with legislation.	Lack of structure Lack of skills training in line with roll. Increasing demand (new projects) Imposition of new standards and compliances - resource remains static.	3	4	12	1) Shared service in place with Selby to add resilience. 2) Service restructure in place providing resilience within, 3) Procedure documentation being put in place. 4) Use of performance management and PDR system to improve skills where necessary	3	4	12	No	1)Provide more training for current staff - Following training identified through PDRs to be carried out , Netapp, Microsoft active directory, Microsoft exchange, VMware, VMware view, juniper, Sophos, Prince2, General ICT networking - staff booked on various training courses 2) Plan projects/forward plan more effectively using resource plans, including consideration of budget provision required which will enable prioritisation of projects & could include external contractors for certain projects as an option - pro forma forms with all services to identify anticipated projects	staff training budget	1) Sept14, 2) ongoing,	Service Manager IS
32 (prev 163)	Current	Director of Services	Information Services	CDC fails to meet its data handling obligations leading to possible prosecution, financial loss and loss of reputation.	Lack of FOI knowledge within council. Lack of understanding of levels of data that need protection. Appropriate procedures not being followed. Email and internet abuse.	3	4	12	1)All laptops are encrypted. 2) Only encrypted USB memory sticks are useable on the network. 3) Data Protection Policy . 4) Confidential shredding contract in place 5) Printers are access coded.6) Data Retention Policy in place. 7) Training delivered to Managers for cascading to all staff. Managers to report to SLT on progress made. 8) Procedures/checklist drawn up for use by all. 9) Annual audit of business applications being carried out - liaison with internal audit where necessary. 10) Training delivered to Members Feb 2014 11) PSN compliance gained which improves data security 11) Members have Cravencdc.gov email addresses, I pads made available to all.	3	4	12	no	1) Following delivery of training to Managers, ensure the training is cascaded to all staff . Regular training should be on-going. 2) Consider putting internal audit process in place to monitor. 3)Ensure 6 monthly follow up providing refresher training and training for any new employees.4) Consider including Data Protection information as part of induction pack for new employees.	cost of training	various dates see action plan	IS Manager
40	Current	Director of Services	PR/comms	CDC fails to deliver on their responsibilities associated with the Tour De France coming through Craven district including additional hub activities leading to loss of reputation.	Insufficient time/resource to deliver. Numbers of visitors underestimated.	3	4	12	See Detailed Risk Register for Tour de France	3	4	12	no	See Detailed Risk Register for Tour de France	staff time .Funding of £87K approved for delivery	on-going to summer 2014	Partnershi- ps & Communi- cations Manager
42 (prev 294)	Current	Director of Services	town halls	Risk reworded to Inability to implement a sustainable solution for long term future of Skipton town hall leading to financial burden and deterioration of building.	Poor project management; poor communications; project not sufficiently developed/investigated. Poor external advice. Project not viable in current economic climate inability to secure external funding	5	4	20	Please see separate detailed Risk Register	3	4	12	no	Please see separate detailed Risk Register	staff time. £70K capital approved for initial repairs	on-going	Asset & Property Manager
57 (prev 280)	Current	Financial Management	Accountancy	Financial position of Council - Failure to achieve savings target & sustain planned income levels (fees & charges) leading to deteriorating financial position, and additional pressure on ability to bridge funding gap in future years.	overspending against budgets non achievement of savings targets set. Reductions in Government funding. Impact of economic downturn	5	5	25	1)Regular budget monitoring and reporting. Monthly reporting implemented for income. 2) Member acceptance of need for savings. 3) Scenario planning undertaken. 4)Savings being realised - scheduled savings for 13/14 financial year have been achieved. 5) programme of internal service reviews on-going through VFM 6) Rolling detailed medium term financial strategy in place.7) quarterly performance clinics. 8) Financial Management training. 9) Member Strategy sessions. 10) Detailed savings and income plan developed.	2.5	4	10	no	1)Continue financial management training for budget holders/managers.3)Continue to review organisational structures as part of savings plan 4) Ensure resources are linked to Council priorities (people & money) on a rolling basis Ensure we keep to timetable of light touch reviews. 5)Review existing contracts for better value for money. 6) Investigate income generation ideas for future years .7) Ensure implementation of scheduled savings in 2014/15 financial year and future years . 8) Provide more detailed monitoring information on income to CLT and increase challenge on spending and income 9) investigate any new opportunities that Localism Act provides for charging and trading. 10) Continue monthly monitoring of income & savings plan		Training on-going	Corporate Head Finance

Craven Risk Assessment Model - summary of Risks

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59 (prev 309)	Current	Financial Management	Accountancy	Reduction in Government funding leading to further spending cuts with negative impact on ability to deliver services and difficulties in forward planning effectively.	Uncertainty over funding levels from 2014/15 onwards and impact of changes to funding resulting from localisation of business rates and council tax benefit.	4	4	16	1) Rolling 4 year medium term financial strategy including scenario planning and modelling. Recently refreshed covering period through to 2017/18 2) Keeping up to date with developments.3) Liaising with other North Yorkshire authorities.4) Attending relevant seminars. 5) Income and Savings plan in place. 6) Monthly budget monitoring to ensure control of spend 7) Joined NY Business rates pool 8) current savings plan reviewed as part of budget setting fro 14/14 and for Medium Term Financial Strategy . 9) New Longer Term Financial Strategy to 2021 drawn up	3	4	12	no	1) Implement strategy to meet forecast budget gap/deficit from 2014/15 onwards. 2) Investigate looking into business growth opportunity after 2014. 3) investigate any new opportunities that Localism Act provides for charging and trading. 4) Implement income and savings plan initiatives. Reviewed monthly by CLT and quarterly by Policy Committee 5) Reassess current savings plan and current service provision in light of recent central Govt announcements indicating further reduction in funding		on-going	Corporate Head Finance
61 prev (314)	current	Financial Management	Accountancy	Insufficient capital resources to fund capital programme leading to detrimental impact on services.	Target capital receipts are not met in relation to general property assets.	5	4	20	1) Capital programme is tailored to meet current circumstances and includes a prioritisation process. 2) Asset Management & Capital Working Group oversees asset disposal programme, robust programme in place 3) Capital programme monitoring of expenditure and funding resources takes place on quarterly basis. 4) on-going treasury management . 5) Capital expenditure only incurred when there is certainty of capital resources.6) condition surveys carried out to inform asset disposal programme. 7) Long Term Strategy completed leveraging in revenue resources	2.5	4	10	no	1) Continue Monthly progress reports to CLT on progress in realising capital receipts. 2) Continue monthly progress reports to Corporate Head (Financial Management) on expenditure incurred against the capital programme. 3) Ensure continuation of 3 year asset disposal programme implemented.	staff time	on-going	Corporate Head Finance/ Deputy CE

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119 (prev 267)	current	Planning & Regeneration	Planning Services	Increase in planning appeals leading to financial loss/loss of reputation.	Lack of up to date Core Strategy and Site Allocations document. Changes in planning legislation, mis-interpretation of localism and neighbourhood planning. increasing challenges on procedural issues.	4	4	16	See more detailed action plan showing progress and actions in place. includes the following 1) Draft Housing target and Distribution Strategy agreed . Amendments to Distribution Strategy being taken to Craven Spatial Planning Committee 14 April 2014 following consultation. 2) Draft Site allocations work now complete , looking to identify preferred locations by May 2014 3) Policies which have been developed to date, being presented to Members April 2014 for further feedback. 4) Temporary posts agreed to Dec 2014. Various maternity leaves covered by temporary staff and internship. 5) robust development control team in place 6) Core Strategy and site allocations will be merged into one requiring one examination. 7) Housing Viability assessment completed informing Affordable Housing Policy. 8) Strategic Housing Market Assessment complete. 9) Additional work carried out on population projections. 10) Members agreed 'Shaping a Spatial Strategy and Housing Figure ' and 'Towards a locally determined housing target for CDC' documents. 11) As precautionary measure, when RSS revoked (22 Feb 13) Policy Committee has already agreed (Nov 12) to adopt emerging housing target of 160 homes per year for development control purposes which means CDC has an agreed position. needs review see additional measure 13) Discussion paper on employment land produced , consultation taken place and will feed into LD plan.	2.5	4	10	no	1) Re planning appeals - Continue to work extensively with Members to make sure decisions are robust and defensible to minimise any potential award of costs. 2) Work with Members to ensure that the Local Plan progresses as per timetable. 3) Report to go to Policy Committee on Craven's agreed position on housing target in light of legal cases. 4) presentation to take place to Members on employment land. Likelihood score agreed at 2.5 until the publication of the draft document.	budget for temporary staff replacements	Sept 14 for draft plan.	Spatial Planning Manager