

Appendix A

Draft Risk Register - Reviewed March 2015

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
11	Current	Business Support	Health & Safety	Failure to address Health and Safety issues in CDC leading to: Fatality Corporate Manslaughter charges HSE involvement. Inability to defend claims.	Lack of senior support. Lack of interest across Council. Human error lack of experience and knowledge. Lack of updated training. Lack of capacity	3	4	12	Experienced Health and Safety adviser in place <b>two</b> day a week only . <b>Health and Safety Policy &amp; various procedures updated and being rolled out.</b> Training for staff available Risk Assessments <b>being updated</b> Safety Management Group. Safety Reps Group Quarterly accident statistics. Specific training fire reps, first aiders Report to CLT/Council on H&S performance Three year strategy being developed to resolve issues. <b>Health &amp; Safety Management action plan produced by adviser</b>	3	4	12	no	1)Maintain effective senior support. 2) Continue to Improve risk assessment management process and ensure completion of risk assessment updates. 3) Improve monitoring of H&S performance 4) Continuous programme of training <b>5) Ensure completion of H &amp; S Management action plan</b>	Adequate time for H&S Adviser	on-going	Corporate Head Business Support
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, loss of key staff leading to inability <b>to deliver all Council services.</b> 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.	4	4	16	1) Shared service in place with Selby to add resilience. <b>(this depleted due to staff leaving, long term future of shared service in doubt )</b> 2) <b>Support contract in place with external contractor to provide high level support</b> 3) Procedure documentation being put in place. 4) Use of performance management and PDR system to improve skills where necessary 5) Project planning /forward plan taking place 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 - Project initiation documents completed for identified projects to go to CLT for approval	4	4	16	No	1)Currently looking at options around department restructure and working with other partners, <b>need to ensure continuity of service pending longer term solutions being put in place.</b> 2) 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 3) Ensure approval of PID for identified projects to proceed. <b>Ensure sufficient resource to allow identified projects to proceed</b>	staff training budget	1) March - June 15 2) ongoing, 3)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 12) member ipads adn cravendc only emails now in place <b>13) internal audit process in place to monitor. 14) Information Governance Officer recruited to implement information governance framework</b>	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)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. 5) PSN compliance renewal due Nov 2014 ensure compliance regained. <b>submitted and awaiting certification</b> (see risk 121 for details )	cost of training	various dates see action plan	IS Manager
42 (prev 294)	Current	Director of Services	town halls	Risk reworded to failure to deliver town hall refurbishment project within timescales and budget leading to financial loss, loss of reputation.	Poor project management; poor communications; Poor external advice. inability to secure external funding for phase 2.	5	4	20	Please see separate detailed Risk Register	3	4	12	no	Please see separate detailed Risk Register	staff time. £700K capital approved for initial repairs	on-going	Asset & Property Manager

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 <b>2016/17</b> onwards and impact of changes to funding resulting from localisation of business rates and council tax benefit.	4	4	16	1) Rolling <b>7-10</b> year combined medium & Long Term financial strategy including scenario planning and modelling Refreshed <b>annually</b> . 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) <b>Part of</b> NY Business rates pool 8) current savings plan reviewed as part of budget setting for 15/16 and for Medium/Long Term Financial Strategy .	2.5	4	10	no	1) Rolling Implementation of strategy to meet forecast budget gap/deficit from 2015/16 onwards. 2) Investigate looking into business growth opportunity <b>as part of Council Plans</b> . 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 as part of M/L Term Financial Strategy in light of recent central Govt announcements indicating further reduction in funding <b>(this is ongoing and assessed annually)</b>		on-going 5) end Sept 15	Strategic Manager - Financial Services
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. <b>Insufficient resource available from revenue budget</b>	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 levering in revenue resources 8)Final capital receipt due in from Granville Street Mid 2015. 9) contributions to specific reserves to support capital programme in future years <b>factored in to budget</b> .	2.5	4	10	no	<b>1) Continuation of contributions from revenue to support capital programme. 2) continuation of quarterly reporting to CLT and Policy Committee on capital receipts.</b>	staff time	on-going	Strategic Manager - Financial Services

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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 Local Development Plan. 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) Target date for publishing draft plan is <b>Sept 15 Further changes to make as a result of consultation, reported to Spatial Planning Committee 25 Feb.</b> 2) Temporary posts agreed to <b>Dec 2015</b> . covering staff who have returned on part time rather than full time basis. 3) Housing Viability assessment completed informing Affordable Housing Policy. 4) Strategic Housing Market Assessment being updated <b>report from consultants expected March</b> . 5) Additional work carried out on population projections incorporating demographic evidence & working with Leeds City region, <b>presented to Members Feb 15. Both assessments will be used to adjust housing numbers.</b> 6) Policy committee has agreed to use latest household projections rather than emerging housing target to establish 5 year housing land supply as an agreed position in light of new legal cases. <b>Annual assessment of future Housing supply now undertaken</b> 7) <b>Number of new studies commissioned, to support LD plan, conservation area appraisals, retail appraisal, Employment land sites, playing pitch, built facilities and open spaces, Highway modelling for skipton &amp; south sub area.</b> 8) <b>LD plan timetable produced and approved by Spatial Planning Committee.</b>	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) <b>Complete all recently commissioned studies as per timetable</b>	budget for studies	september for draft plan	Spatial Planning Manager
121	current	Director of Services	information services	Failure to comply with Cabinet Office Public Services Network (PSN) Code of Connection (CoCo) each year leading to loss of connection and inability to deliver the Benefits service and secure email communications with other Public Sector bodies. Reputational issue if Govt publishes details of non compliant authorities	Inability to keep up with the PSN standards required to gain accreditation. This cover IT network security, Physical security, policies and procedures and Baseline Personnel Security Standard (BPSS) for HR for all GCSx/PSN users. <b>Lack of resource to keep up with compliance</b>	3	4	12	1) budget provided in 2014/15 to address any issues that are identified as part of the Council's IT health checks - These are both external and internal for the Council's ICT network. BPSS must be in place for all GCSx/PSN users as part of the CoCo. <b>In addition to the annual health check that must be undertaken, a further 6 month check carried out to identify potential issues in good time.</b>	2	5	10	no given the complexities of the ICT network and the continuing increase of the level of security required.	1) Need to provide better skills internally to the team to comply with the PSN standard so this can move to a day to day function rather than be seen as a project each year. 2) Need to ensure other areas of the Council are working to this standard also (ie Human Resources) for BPSS. <b>Currently awaiting certification after submission of compliance.</b>		Mar-15	IT Manager
124	current	Director of Services	Waste Management & Recycling	CDC fails to comply with Waste (Eng & Wales) Amendment Regulations 2012 for separate collection of 4 recyclates leading to potential additional revenue costs involved in changing collection scheme or enforcement action taken by Environment Agency for non compliance.	current collection scheme does not provide sufficient high quality recyclates. Authority cannot provide sufficient evidence of compliance with the practicality or TEEP test. Insufficient resource to carry out necessary assessments. Short timescale to introduce changes to collection service if required.	3	4	12	1) Waste Regulation Route Map produced by WRAP to provide guidance on assessment. 2) Recent Service review report completed by WRAP provides some evidence base fo current practice and recycling rates.	3	4	12	no	1) Undertake own service assessment using WRAP guidance as benchmark. <b>Partially completed expected to conclude cost of change too high</b>	staff resource	1) 15 March 15	Waste & Recycling Manager