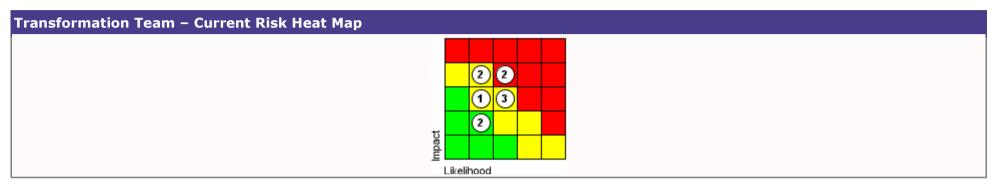
## **Service Risk Register - Transformation**

Generated on: 20 November 2009





Risk Su	ımmary		Key			
Status	Code	Title	Risk S	tatus	Action	n Status
	TT 01	Understanding local priorities	0	ОК		Cancelled
	TT 02	Poor quality uncoordinated community engagement	<u> </u>	Warning		Overdue
	TT 03	Failure to deliver improvements in priority areas	•	Alert		Check Progress
<b>Ø</b>	TT 04	Failure to manage performance of the Council Plan	?	Unknown		In Progress
<b>②</b>	TT 05	Failure to develop investment to meet local needs			<b>②</b>	Completed
	TT 06	Capacity of the organisation does not match our ambitions				
	TT 07	Failure to build effective partnerships				
	TT 08	Failure to co-operate in delivering the shared targets of the NYLAA	]			
	TT 09	Failure to involve our communities effectively	1			
	TT 10	Data Quality	1			

TT 01 l	Understanding l	ocal priorities								
Risk Code	Ri	sk Title	Description						Status	
TT 01	Understand	ing local priorities	Failure to understand	d the needs of our cus	tomers and con	nmunity	/			
Conseq	uences		Failing to meet local	needs and aspirations	. Discrimination	n. Poor	outcomes	for vulner	able people. Poor VFM achieved	
	Current Ris	k Matrix		Current Ratin	g Description				Last Review Date	
				D	2		2			
	Likelihoo	od	Current Impact	Major	Current Likelih	nood	Not	Likely	15 Apr 2009	
	Target Risl	k Matrix		Target Rating	Description				SMT Lead	
				В	2					
	Likelihoo		Target Impact	Minor	Target Likeliho	ood Not Likely		Likely	Clare Slater	
Risk Ac					ļ				1	
Status	Code	Title	Description	Progress Bar	<b>Due Date</b>	Lead		Latest No	ote	
	SDP TT 0913 01	Commission the Place Survey	Commission the Place Survey - next due 2010-11	0%	30 Sep 2010	Clare S	lare Slater most cost e through the Options for		urvey will be commissioned in the effective way possible. Previously NY Community Engagement Group. the best procurement route will be February 2010.	
	SDP TT 0913 02	Analyse Place Survey Data	To analyze the Place survey data by social identity group and geography	25%	30 Jun 2009	Clare S			vsis undertaken in relation to wards of satisfaction with area and services.	
	SDP TT 0913 03	Shared Evidence Base	To develop a shared evidence with the RSP partners	50%	30 Jun 2009	Clare S	Slater NY Local Inf		ly involved in the development of the formation System, which is being hrough the REIP for the next three	

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP TT 0913 05	Community Engagement Strategy	To review the Council's Community Engagement Strategy and manage its implementation	20%	31 Jul 2009	Clare Slater	Refresh of RDC Community Engagement Strategy, taking into account new legislative requirements - Duty to Involve, Community Empowerment etc. Communications - Inform - to be developed as a distinct strategy.
	SDP TT 0913 06	Service Equality Monitoring	To implement service level equality monitoring by group across all services	50%	31 Mar 2010	Clare Slater	Corporate Equality Monitoring now being undertaken across services. Excellent response received through the LDF exhibitions. Complaints and compliments being managed through Covalent and analysed by equality group to identify any patterns.
	SDP TT 0913 07	Engaging seldom heard groups	Engage minority and seldom groups in engagement activity – Sept and April annually	14%	31 Mar 2013	Clare Slater	Next series of workshops to be arranged and linked to development of equalities policy and to the budget consultation for 2010
	SDP TT 0913 08	Annual Engagement Programme	Deliver the corporate consultation annual programme linked to corporate planning cycle	0%	31 Mar 2010	Clare Slater	Corporate activity included in the Council Plan and published on ryedale.gov.uk. Service level activity to be extracted from service delivery plans and forward plan and linked to community engagement strategy and EqIA timetable.

TT 02 F	TT 02 Poor quality uncoordinated community engagement									
Risk Code	Ris	sk Title	Description							Status
TT 02		oordinated communi agement	Poor quality commun	Poor quality community engagement that is not coordinated						
Consequ	uences		Consultation fatigue.	Lack of e	mpowermen	t. Los	s of influence for	r members of	our cor	nmunities
	<b>Current Ris</b>	k Matrix		Cui	rrent Ratin	g Des	cription			Last Review Date
	Likelihoo	Current Impact	Мє	C	Curre	ent Likelihood	3 Likely		15 Apr 2009	
	Target Risk	Matrix		Та	rget Rating	g Desc	cription			SMT Lead
	Likelihoo	Target Impact	N	B	Targe	nrget Likelihood Not I		ly	Clare Slater	
Risk Act		u								
Status	Code	Title	Description		Progress I	Bar	Due Date	Lead	Lates	t Note
	RSP CE 03		Develop a joint database of plans with NYCC & partners		0%		30 Sep 2010	Julian Rudd		
	RSP CE 04 Joint web based in community forums up		in partnership with NYCC, be	velop web based community forums artnership with NYCC, building in the strong relationship with the			30 Dec 2009	Julian Rudd		
	RSP CE 05	Workshops with seldom heard groups	evelop a programme of workshops th residents from the following Idom heard communities: Disabled, eack and Minority Ethnic, Lesbian Gay sexual Transgender, Older People, ender, Religion and Belief, Young ople		14%		31 Mar 2013	Julian Rudd		

Status	Code	Title	Description	<b>Progress Bar</b>	<b>Due Date</b>	Lead	Latest Note
	RSP CE 06	A Plan for Every Parish	To actively support the development of parish plans in the communities of Ryedale with the vision of achieving 'A Plan for Every Parish'	77%	31 Mar 2010	Julian Rudd	The Council has in partnership with the RSP developed a comprehensive programme of Community Led Planning. This has been geographically focused and is currently taking place in the Howardian Hills AONB. The vision for this programme is of 'A Plan for Every Parish'. Ryedale has 99 parishes of which 5 are Town Councils, 63 Parish Councils and 31 Parish Meetings. A total of 51 community led plans have been published of which parish plans have been published for 39 of our 63 parish councils and 7 by parish meetings. The total coverage of our community led planning activity has so far been that 77% of the total population of Ryedale have had access to a community planning project, with average response rates being 80%. This body of plans therefore represents an extensive evidence base with which the council and its partners can inform their corporate, financial planning and service level activities and decision making. Similarly they have been used to help partner organisations to work together on issues which are shared by a number of communities and need a number of partners to actually make progress.
	RSP CE 12	Annual consultation programme	Develop annual consultation programme linked to RSP Business planning cycle Publish an annual programme of community engagement activity on www.imagine-ryedale.org.uk and review every quarter Publish results of involvement activity Web-links to toolkits and current consultations and evaluation findings	0%	] 31 Mar 2010	Julian Rudd	
	SDP TT 0913 05	Community Engagement Strategy	To review the Council's Community Engagement Strategy and manage its implementation	20%	31 Jul 2009	Clare Slater	Refresh of RDC Community Engagement Strategy, taking into account new legislative requirements - Duty to Involve, Community Empowerment etc. Communications - Inform - to be developed as a distinct strategy.

Status	Code	Title	Description	<b>Progress Bar</b>	Due Date	Lead	Latest Note
	SDP TT 0913 08	Programme	Deliver the corporate consultation annual programme linked to corporate planning cycle	0%	31 Mar 2010		Corporate activity included in the Council Plan and published on ryedale.gov.uk. Service level activity to be extracted from service delivery plans and forward plan and linked to community engagement strategy and EqIA timetable.
	SDP TT 0913 09	Community Engagement Calendar	Publish a Consultation calendar on the internet and in the council tax booklet	0%	31 Mar 2010	Clare Slater	Corporate activity included in the Council Plan and published on ryedale.gov.uk.
	SDP TT 0913 11	Improve consultation section of Council	Improve consultation section of internet to include: Results of involvement activity; Joint timetable; Web-links to toolkits and current consultations and evaluation findings	0%	31 Mar 2010	Clare Slater	
	SDP TT 0913 14	community	Evaluation of annual programme of consultation outcomes and activities, and publish findings on website	0%	31 Mar 2010	Clare Slater	

TT 03 Failure to deliver improvements in priority areas										
Risk Code	Ri	sk Title	Description					Status		
TT 03		er improvements in rity areas	Failure to deliver imp	provements in priority	areas					
Conseq	uences		Discrimination. Litiga	ation. Damage to repu	tation. Poor o	utcomes				
	<b>Current Ris</b>	k Matrix		Last Review Date						
				С			3			
	Likelihoo	d	Current Impact	Medium	Current Likel	ihood	Likely	15 Apr 2009		
	Target Risk	Matrix		Target Ratin	g Description	1		SMT Lead		
				В			2			
	tikelihoo	d	Target Impact	Minor	Target Likeli	Target Likelihood Not L		Clare Slater		
Risk Ac	tions									
Status	Code	Title	Description	<b>Progress Bar</b>	<b>Due Date</b>	Lead	<b>Latest Note</b>			
	SDP TT 0913 03	Shared Evidence Base	To develop a shared evidence with the RSP partners	50%	30 Jun 2009	Clare Slate	er Local Information	volved in the development of the NY on System which is being resourced P for the next three years.		
	SDP TT 0913 06 Service Equality Monitoring		To implement service level equality monitoring by group across all services	50%	31 Mar 2010	31 Mar 2010 Clare Slater		lity Monitoring now being undertaken Excellent response received through ons. Complaints and compliments through Covalent and analysed by to identify any patterns.		
	SDP TT 0913 31	Business Improvement Programme	Undertake a programme of cross cutting service reviews, eg Accessing council services, administrative systems	0%	31 Mar 2010	Clare Slate	(Transformation be linked to VFN Programme. Pri	d as a priority by the Project Manager  i) who is now in post. Programme to  d strategy and Corporate Efficiency ority projects - Admin systems administration review and Accessing  5.		

	SDP TT 0913 32	Programme of EqIAs	Manage the programme of EqiAs for the Council – reprioritize and refresh existing ones –Corporate Programme		31 Mar 2010	Clare Slater	Corporate programme published in Council Plan 09- 13. CS has agreed to undertake workshop session with SUMs on new EqIA framework and revisiting EqIAs.
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TT 04 F	ailure to manag	je performance of	the Council Plan					
Risk Code	Ris	sk Title	Description					Status
TT 04		e performance of the ncil Plan	Failure to manageme	ent performance of the	ne Council Pla	an		<b>⊘</b>
Consequ	uences		Poor outcomes for m	embers of our comm	nunities, parti	cularly the r	most vulnerable.	
	<b>Current Risk</b>	( Matrix		Current Rati	ng Descripti	ion		Last Review Date
				В			2	
	Likelihood		Current Impact	Minor	Current Lik	celihood	Not Likely	15 Apr 2009
	Target Risk	Matrix		Target Ratio	ng Descripti	on		SMT Lead
	mbact Risk Fidelix		Target Impact	B Minor	Target Like	elihood	2 Not Likely	Clare Slater
Risk Act	Likelihood	1						
Status		Title	Description	Progress Bar	Due Date	Lond	Latest Note	
Status	Code	Title	Description	Progress bar	Due Date	Lead		ervice delivery planning covering all
	SDP TT 0913 35		Support Heads of service in their development of Covalent as corporate PM system	86%	31 Mar 2010	Clare Slater	service areas now programme to be programme being efficiency program with links to the fi undertaken through developed through CAA - managing p	included in Covalent. One 11 change developed on covalent. VFM managed through covalent, as is the nee for 2009/10. The delivery of the is to be managed through covalent inancial profiling. Risk management gh covalent. All self assessments in covalent such as the benefits KLOE, performance and use of resources iect delivery tracking currently under

Status	Code	Title	Description	<b>Progress Bar</b>	Due Date	Lead	Latest Note
<b>②</b>	SDP TT 0913 36	Performance Reporting	Report performance against council plan to members and CMT – quarterly PRB. July and December	100%	31 Mar 2010	Clare Slater	Performance and Finance Reports draft submitted to SMT for comments P and FR's to be submitted to Committees in June - scene setting, September, November and March. In July policy committees and O and S will receive the Annual report of achievement in the previous year.
<b>②</b>	SDP TT 0913 38	Annual Review of Council Plan	Review Council plan annually to full council March	100%	31 Mar 2010	Clare Slater	Complete, presented to all members at July Committee cycle
	SDP TT 0913 39	Business Planning Process	Managing the review and delivery of Service Delivery Planning	0%	31 Mar 2010	Clare Slater	
	SDP TT 0913 40	Corporate Risk Management	Managing the Councils Corporate Risk management	0%	31 Mar 2010	Clare Slater	Corporate Risk Plan needs reviewing in line with new Council Plan.

TT 05 F	ailure to develo	op investment to me	eet local needs				
Risk Code	Ris	sk Title	Description				Status
TT 05		p investment to meet al needs	Failure to develop inv	estment to meet loca	l needs		<b>⊘</b>
Consequ	uences						
	<b>Current Ris</b>	k Matrix		Last Review Date			
				В		2	
	Likelihoo	d	Current Impact	Minor	Current Likelihood	Not Likely	15 Apr 2009
	Target Risk	( Matrix		Target Rating	Description	'	SMT Lead
				В		2	
	Impact		Target Impact	Minor	Target Likelihood	Not Likely	Clare Slater
Risk Act	Likelihoo	d					
	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
Status			Develop VFM processes and benchmarking across all services	35%	31 Mar 2010	Clare Slater	Implementation of the VFM strategy now underway being lead by the Transformation Team. VFM reviews being undertaken Heads of Services. Order of priority linked to One 11 programme
	SDP TT 0913 38 Annual Review of Council Plan		Review Council plan annually to full council March	100%	31 Mar 2010	Clare Slater	Complete, presented to all members at July Committee cycle
	SDP TT 0913 39 Business Planning Process		Managing the review and delivery of Service Delivery Planning	0%	31 Mar 2010	Clare Slater	

TT 06 Capacity of the organisation does not match our ambitions									
Risk Code	Ris	sk Title		Description					Status
TT 06	Capacity of the match of	organisation doe our ambitions	es not	Capacity of the organis					
Consequ	iences			Failure to deliver impro	ovements for local co	ommunities, d	amage to	our reputation	
	<b>Current Ris</b>	k Matrix			Current Ratin	g Description	n		Last Review Date
					D	-		3	
	Likelihood			Current Impact	Major	Current Likelihood		Likely	15 Apr 2009
	Target Risk	( Matrix			Target Rating	Description	1		SMT Lead
					В			2	
	Likelihood			Target Impact	Minor	Target Likelihood  Not Likely		Not Likely	Clare Slater
Risk Act		-				<u>!</u>			
Status	Code	Title	Descri	ption	<b>Progress Bar</b>	Due Date	Lead	<b>Latest Note</b>	
	SDP TT 0913 31	Business Improvement Programme	cutting s Accessin	ke a programme of cross service reviews, eg ig council services, crative systems	0%	31 Mar 2010	Clare Slate	(Transformation) linked to VFM stra Programme. Priori	who is now in post. Programme to be tegy and Corporate Efficiency ty projects - Admin systems review, tion review and Accessing Council
	SDP TT 0913 42	Shared Services	Investig to be ac services	ate potential efficiencies hieved through shared	20%	31 Mar 2010	Clare Slate		irement partnership with Scarborough ed. New fraud partnership blace.
	SDP TT 0913 43	Partnership Protocol		and Implement the e partnership protocol	75%	31 Mar 2010	Clare Slate		nance Toolkit now in place and audit ship arrangements underway.
	SDP TT 0913 44	Commissioning Strategy	Develop for the c	a commissioning strategy council	15%	31 Mar 2010	Clare Slate		riefings to clarify meaning and gic Commissioning for RDC
	SDP TT 0913 47	Partnership working		added value achieved partnership working	0%	31 Mar 2010	Clare Slate	Develop our capac what does this rea	city through partnership working - llly mean for us?

TT 07 F	ailure to build	effective partnershi	ps							
Risk Code	Ri	isk Title	Description	Status						
TT 07 Failure to build effective partnerships Failure to build effective partnerships										
Conseq	uences		No added value achie	eved through partners	hip working					
	Current Ris	sk Matrix		Last Review Date						
Likelihood			Current Impact	C Medium	Current Likelihood		3 Likely		15 Apr 2009	
	Target Ris	k Matrix	Target Rating Description					SMT Lead		
Likelihood			Target Impact	B Minor	Target Likelihood  Not Likely			Clare Slater		
Risk Act	tions									
Status	Code	Title	Description	Progress Bar	Due Date	Lead		Latest Note		
	SDP TT 0913 42	Shared Services	Investigate potential efficiencies to be achieved through shared services	20%	31 Mar 2010	Clare SI	later	Scarborough I	Procurement partnership with BC being negotiated. New fraud arrangements in place.	
	SDP TT 0913 43 Partnership Protocol		Develop and Implement the corporate partnership protocol	75%	31 Mar 2010 Clare Sla				Governance Toolkit now in place and ent partnership arrangements	
	SDP TT 0913 44	Commissioning Strategy	Develop a commissioning strategy for the council	15%	31 Mar 2010	Clare SI	later	CS has attend purpose of Sti	has attended briefings to clarify meaning and rpose of Strategic Commissioning for RDC	

TT 08 Failure to co-operate in delivering the shared targets of the NYLAA									
Risk Code		Risk Title	Title Description						
TT 08		o co-operate in delivering the red targets of the NYLAA							
Consequ	iences		Breaching our duty to	o co-operate				•	
Current Risk Matrix				Current Ratin	g Description			Last Review Date	
				D			3		
Likelihood			Current Impact	Major	Current Likelihood		Likely	15 Apr 2009	
	Targ	get Risk Matrix	Target Rating Description					SMT Lead	
Impact			Target Impact	B Minor	Target Likelihood		2 Not Likely	Clare Slater	
Likelihood   Likel									
Status	Code	Title	Description	Progress Bar	Due Date Lead Late			Latest Note	
<b>&gt;</b>	RSP 2.4	To manage delivery of the shared targets of the Ryedale Local Area Agreement	Enter Ryedale LAA on Covalent	0%	31 Mar 2013	Julian Rudd			

TT 09 F	ailure to involv	e our communities	effectively								
Risk Code	RICK LITIE LIDECTINTION							Status			
TT 09		lve our communities fectively									
Conseq	uences		Breaching our duty to	Breaching our duty to involve							
	<b>Current Ris</b>	k Matrix		Last Review Date							
Likelihood			Current Impact	C Medium	Current Likelihood		2 Not Likely	15 Apr 2009			
	Target Risk	( Matrix	Target Rating Description					SMT Lead			
Likelihood			Target Impact	B Minor	Target Likelihood  Not Likely			Clare Slater			
Risk Ac	tions				!						
Status	Code	Title	Description	Progress Bar	Due Date Lead Latest Note		Latest Note				
	SDP TT 0913 05	Community Engagement Strategy	To review the Council's Community Engagement Strategy and manage its implementation	20%	31 Jul 2009	Clare Slate	taking into acco	Community Engagement Strategy, unt new legislative requirements - , Community Empowerment etc. s - Inform - to be developed as a /.			
		Engage minority and seldom groups in engagement activity – Sept and April annually	14%	31 Mar 2013			of workshops to be arranged and linked ent of equalities policy and to the budget for 2010				

Status	Code	Title	Description	Progress Bar	<b>Due Date</b>	Lead	Latest Note
	SDP TT 0913 08	Annual Engagement Programme	Deliver the corporate consultation annual programme linked to corporate planning cycle	0%	31 Mar 2010	Clare Slater	Corporate activity included in the Council Plan and published on ryedale.gov.uk. Service level activity to be extracted from service delivery plans and forward plan and linked to community engagement strategy and EqIA timetable.
	SDP TT 0913 09	Community Engagement Calendar	Publish a Consultation calendar on the internet and in the council tax booklet	0%	31 Mar 2010	Clare Slater	Corporate activity included in the Council Plan and published on ryedale.gov.uk.
	SDP TT 0913 12	Engagement of Third sector	Engage the third sector through the RVA forum – coordinated by RSP	50%	31 Mar 2010	Clare Slater	Developing through the PIP - outcomes available to inform future engagement in June 2009. Jo Reilly leading on development of the Compact.
	SDP TT 0913 13	Engage business sector – Coordinated by RSP	Engage business sector – Coordinated by RSP	0%	31 Mar 2010	Clare Slater	
	SDP TT 0913 14	Evaluate annual programme of community engagement	Evaluation of annual programme of consultation outcomes and activities, and publish findings on website	0%	31 Mar 2010	Clare Slater	
	SDP TT 0913 15	Parish Liaison	Parish Liaison	75%	31 Mar 2010	Clare Slater	Special parish liaison meeting held in April re: LDF. General meeting held in October 2009.

TT 10	Data Quality									
Risk Code	R	isk Title	Status							
TT 10	Da	ta Quality	Failure to manage da	Failure to manage data quality						
Conseq	uences									
	Current Ris	sk Matrix		Last Review Date						
Impact			Current Impact	D Major	Current Likelihood  Not Likely			17 May 2009		
	Likelihoo Target Ris			Target Rating	Description				SMT Lead	
Impact			Target Impact	B Minor	Target Likelihood Not Likel			Clare Slater		
Risk Ac	Likeliho	od .								
Status	1	Title	Description	Progress Bar	Due Date	Lead		Latest No	ote	
	SDP TT 0913 01 Commission the Place Survey		Commission the Place Survey - next due 2010-11	0%	30 Sep 2010	ep 2010 Clare Slater most cost Chare Slater through the Options fo		most cost e through the Options for	e survey will be commissioned in the teffective way possible. Previously he NY Community Engagement Group. For the best procurement route will be in February 2010.	
<b>Ø</b>	SDP TT 0913 04 NI Data Quality Assurance		To manage the data quality of National Indicator returns	100%	30 Apr 2009				ons required of HofS in relation to g data quality strategy for 2009/10	
SDP TT 0913 06 Service Equality Monitoring		To implement service level equality monitoring by group across all services	50%	31 Mar 2010 Clare Slater undertaker received the and complication covalent a		Equality Monitoring now being en across services. Excellent response through the LDF exhibitions. Complaints liments being managed through and analysed by equality group to my patterns.				