























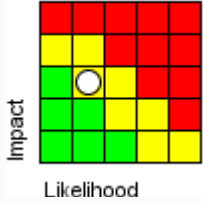
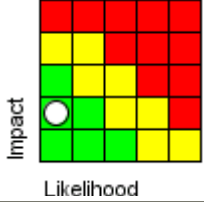



Corporate Risk Register 2009-13

Generated on: 05 February 2010

Corporate Risk Register 2009-13						
Risk Summary			Key			
Status	Code	Title	Risk Status		Action Status	
	CRR 01	Significant Partnerships		OK		Cancelled
	CRR 02	Capital Programme		Warning		Overdue
	CRR 03	Staff Management		Alert		Check Progress
	CRR 05	Affordable Housing		Unknown		In Progress
	CRR 06	Procurement				Completed
	CRR 07	Health and Safety				
	CRR 08	Business Continuity Planning				
	CRR 09	Governance Arrangements				
	CRR 10	Major Incident				
	CRR 11	Council Assets				
	CRR 12	Customer Expectations				
	CRR 13	Fraud and Corruption				
	CRR 14	Data Quality				
	CRR 15	Delivering Efficiencies				

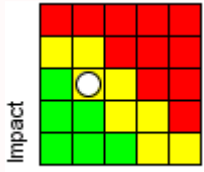
CRR 01 Significant Partnerships

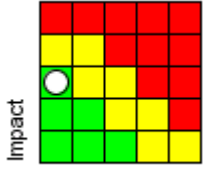
Risk Code	Risk Title	Description					Status
CRR 01	Significant Partnerships	That the Council fails to manage its partnerships effectively					
Consequences		Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.					
Current Risk Matrix		Current Rating Description				Last Review Date	
		Current Impact	C	Current Likelihood	2	25 Sep 2010	
			Medium		Not Likely		
Target Risk Matrix		Target Rating Description				SMT Lead	
		Target Impact	B	Target Likelihood	1	Clare Slater	
			Minor		Very Low		
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP TT 0913 43	Partnership Protocol	Develop and Implement the corporate partnership protocol	<div style="width: 100%; background-color: #4a7ebb; color: white; padding: 2px;">100%</div>	31 Mar 2010	Clare Slater	Audit of partnerships completed, register held in SMT shared folder, all partnerhships scored for significance, new arrangements for those identified as 'significant partnerships' in line with partnership protocol, presented to O and S February 2010.

CRR 02 Capital Programme



Risk Code	Risk Title	Description	Status
CRR 02	Capital Programme	Failure to deliver capital programme for Council priorities, on budget and on time.	

Consequences Failure to deliver the Council priorities


Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small; margin-top: 5px;">Impact Likelihood</p>	Current Impact	C Medium	Current Likelihood	2 Not Likely	27 Sep 2010

Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small; margin-top: 5px;">Impact Likelihood</p>	Target Impact	C Medium	Target Likelihood	1 Very Low	Trevor Anderson

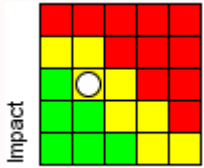
Risk Actions

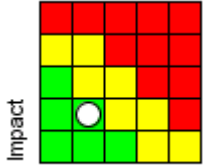
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	RiskA FE 04.02	Monitor schemes in the capital programme against staff resources.	Use standard forms of contract for projects. Ensure procurement rules followed	<div style="background-color: #4f81bd; width: 25%; height: 15px; border: 1px solid black; display: inline-block;"></div> 25%	31 Mar 2010	Phil Long; Phil Long	Standard preambles undertaken, further work with procurement partnership.
	SDP FE 0913 04	Deliver capital schemes contained in Capital Programme	Deliver capital schemes in the Capital Programme	<div style="background-color: #4f81bd; width: 44%; height: 15px; border: 1px solid black; display: inline-block;"></div> 44%	31 Mar 2013	Phil Long	Majority of projects underway as per 29.7.09. Boilers to be schedules in at pools, Public con refurb planned for Malton MK Place- details re bio mass being considered re inc solar

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


Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Current Impact	C	Current Likelihood	2	29 Sep 2009
		Medium		Not Likely	

Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Target Impact	B	Target Likelihood	2	Louise Sandall
		Minor		Not Likely	

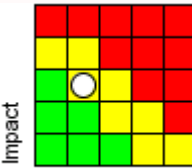
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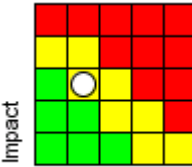
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	RiskA OD 01.01	Multi skilled workforce		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #add8e6; display: inline-block; width: 50%;"></div> 50%	31 Mar 2010	Louise Sandall	Skills and Qualification assessment to be analysed. Corporate Training Plan to be completed and issued.
	RiskA OD 02.01	Develop a workforce plan		<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #add8e6; display: inline-block; width: 80%;"></div> 80%	31 Mar 2010	Louise Sandall	A Skills and Qualification assessment has been completed, analysis of the data is underway. A draft Workforce plan has been completed.

CRR 05 Affordable Housing



Risk Code	Risk Title	Description	Status
CRR 05	Affordable Housing	Housing need in Ryedale, which can be met through the provision of affordable housing, is not met.	

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

Current Risk Matrix	Current Rating Description			Last Review Date
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	C	Medium	2	3 February 2010
Current Impact	Current Likelihood	Not Likely		

Target Risk Matrix	Target Rating Description			SMT Lead
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	C	Medium	2	Gary Housden; Julian Rudd
Target Impact	Target Likelihood	Not Likely		

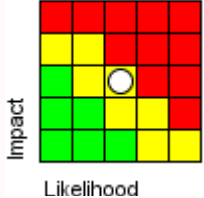
Risk Actions

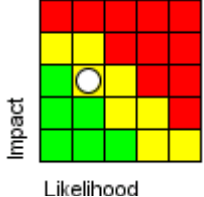
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP FE 0913 05	Review of LA Landholdings	Undertake a review of all LA landholdings within the District to assess their potential for development for affordable housing	<div style="width: 100%; height: 15px; background-color: #4f81bd; border: 1px solid black;"></div> 100%	31 Mar 2010	Gary Housden	Review undertaken - Partner RSL identified an area land that they would wish to purchase to facilitate an affordable housing development in Malton. (Info from Richard Etherington).
	SDP P 0913 04	Strategic Housing Land Availability Assessment	To have a Strategic Housing Land Availability Assessment in place (SHLAA)	<div style="width: 100%; height: 15px; background-color: #4f81bd; border: 1px solid black;"></div> 100%	31 Mar 2010	Gary Housden	

CRR 06 Procurement



Risk Code	Risk Title	Description	Status
CRR 06	Procurement		

Consequences Failure to make efficiency savings. Priority projects not delivered to budget. Government penalties. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.


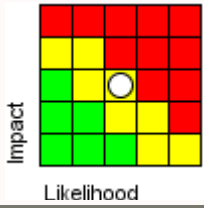
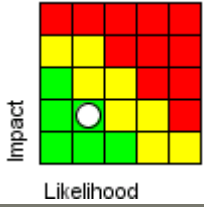

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	3	3 February 2010
	Medium	Current Likelihood	Likely	

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	C	2	Phil Long
	Medium	Target Likelihood	Not Likely	


Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	Corp Risk 06-A3	Officer Training - Procurement	To provide staff at all levels on procurement best practice and our processes	<div style="background-color: #4f81bd; width: 100%; height: 15px; border: 1px solid black; display: inline-block;"></div> 100%	30 Oct 2008	Phil Long	Training provided by the North Yorkshire procurement partnership
	Corp Risk 06-A4	Detailed guidance on procurement to be established		<div style="background-color: #4f81bd; width: 54%; height: 15px; border: 1px solid black; display: inline-block;"></div> 54%	30 Oct 2008	Phil Long	Joined procurement partnership with Selby and Scarborough, including dedicated support, to be arranged. Support to include revision of the Corporate Procurement Strategy for the Council.

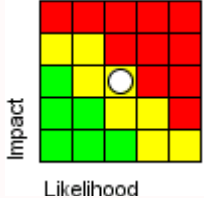
CRR 07 Health and Safety

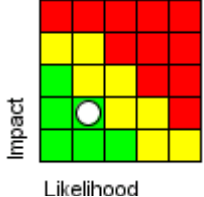
Risk Code	Risk Title	Description	Status							
CRR 07	Health and Safety	Failure to ensure appropriate systems are in place to manage Health and safety								
Consequences		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.								
Current Risk Matrix		Current Rating Description		Last Review Date						
		<table border="1"> <tr> <td>C</td> <td rowspan="2">Current Likelihood</td> </tr> <tr> <td>Medium</td> </tr> </table>	C	Current Likelihood	Medium	<table border="1"> <tr> <td>3</td> <td rowspan="2">Likely</td> </tr> <tr> <td></td> </tr> </table>	3	Likely		3 February 2010
C	Current Likelihood									
Medium										
3	Likely									
Target Risk Matrix		Target Rating Description		SMT Lead						
		<table border="1"> <tr> <td>B</td> <td rowspan="2">Target Likelihood</td> </tr> <tr> <td>Minor</td> </tr> </table>	B	Target Likelihood	Minor	<table border="1"> <tr> <td>2</td> <td rowspan="2">Not Likely</td> </tr> <tr> <td></td> </tr> </table>	2	Not Likely		Phil Long
B	Target Likelihood									
Minor										
2	Not Likely									
Risk Actions										
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note			
	Corp Risk 07-01	Health and safety officer	Health and Safety Officer in post	<div style="width: 100%; text-align: center;">100%</div>	13 Oct 2008	Phil Long	Health and Safety Officer in post			

CRR 08 Business Continuity Planning




Risk Code	Risk Title	Description	Status
CRR 08	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

Current Risk Matrix	Current Rating Description			Last Review Date
	Current Impact	C	Current Likelihood	3
		Medium		Likely
3 February 2010				

Target Risk Matrix	Target Rating Description			SMT Lead
	Target Impact	B	Target Likelihood	2
		Minor		Not Likely
Paul Cresswell				

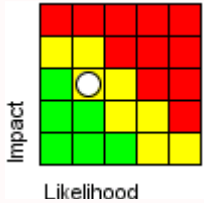
Risk Actions

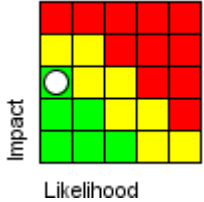
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	Corp Risk 08-A1	Production of Business Continuity Plan	Bring together the Business Impact Assessment work into a plan	<div style="width: 80%; background-color: #4f81bd; border: 1px solid black; display: inline-block;"></div> 80%	30 Sep 2008	Phil Long; Paul Cresswell	Entering negotiation with NYCC to aid completion and testing of plan
	Corp Risk 08-A2	Plan testing	Testing of the Business Continuity Plan	<div style="width: 0%; background-color: #4f81bd; border: 1px solid black; display: inline-block;"></div> 0%	30 Sep 2008	Phil Long; Paul Cresswell	Entering negotiations with NYCC to aid completion and testing of the plan.
	Corp Risk 08-A3	Service Business Continuity Planning	To publish service level business continuity plans as integral to service delivery planning	<div style="width: 10%; background-color: #4f81bd; border: 1px solid black; display: inline-block;"></div> 10%	30 Sep 2008	Phil Long	Priority area of development within service delivery planning for 2009/10

CRR 09 Governance Arrangements





Risk Code	Risk Title	Description	Status
CRR 09	Governance Arrangements		

Consequences


Current Risk Matrix	Current Rating Description			Last Review Date	
	Current Impact	C Medium	Current Likelihood	2 Not Likely	3 February 2010

Target Risk Matrix	Target Rating Description			SMT Lead	
	Target Impact	C Medium	Target Likelihood	1 Very Low	Anthony Winship

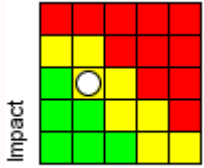
Risk Actions

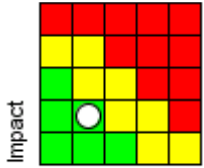
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	Corp Risk 09-A1	Risk Management Member Training		<div style="width: 100%; background-color: #4f81bd; height: 15px; border: 1px solid black;"></div> 100%	30 Jul 2008	Paul Cresswell	
	Corp Risk 09-A2	AGS Improvement Plan		<div style="width: 19%; background-color: #4f81bd; height: 15px; border: 1px solid black;"></div> 19%	30 Mar 2009	Anthony Winship	Officer Code of conduct report considered by O&S Committee meeting on 2nd July 2009 and recommended action plan of Council Solicitor approved. Report with Officer Code of Conduct to be put to P&R on 1st October 2009.
	SDP LS 0913 05	Reviewing Local Code of Corporate Governance		<div style="width: 0%; background-color: #4f81bd; height: 15px; border: 1px solid black;"></div> 0%	31 Mar 2010	Anthony Winship	Programmed for review in the last quarter of the year.
	SDP LS 0913 06	Analyse compliance with Local Code of Corporate Governance		<div style="width: 0%; background-color: #4f81bd; height: 15px; border: 1px solid black;"></div> 0%	31 Mar 2010	Anthony Winship	Programmed for review in the last quarter of the year.

CRR 10 Major Incident


Risk Code	Risk Title	Description	Status
CRR 10	Major Incident	Ensure the Council is prepared to deal with a major flooding incident to meet its obligation for Emergency Planning.	

Consequences Impact on local communities and service continuity.


Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Current Impact	C	Current Likelihood	2	3 February 2010
	Medium		Not Likely		

Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Target Impact	B	Target Likelihood	2	Phil Long
	Minor		Not Likely		

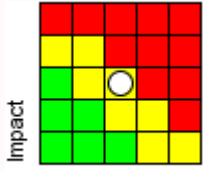
Risk Actions

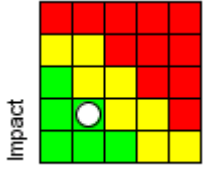
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP SS 0913 19	Prioritize flood risk areas and implement local catchment's of sandbags for immediate self help	Prioritize flood risk areas and implement local catchment's of sandbags for immediate self help	<div style="background-color: #4f81bd; color: white; padding: 2px; display: inline-block;">100%</div>	31 Mar 2011	Phil Long	Areas prioritised and sandbags caught in priority locations subject to flash flood risk.

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

Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Current Impact	C Medium	Current Likelihood	3 Likely	3 February 2010

Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Target Impact	B Minor	Target Likelihood	2 Not Likely	Phil Long

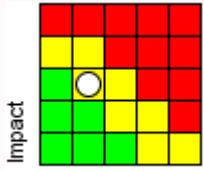
Risk Actions

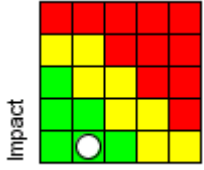
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP FE 0913 01	Establish term maintenance contracts with suppliers/contractors for the planned maintenance items	Establish term maintenance contracts with suppliers/contractors for the planned maintenance items	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> 60% </div>	31 Mar 2010	Phil Long	
	SDP FE 0913 03	Carry out maintenance and condition surveys for all of the Council's buildings	Carry out maintenance and condition surveys for all of the Council's buildings	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> 50% </div>	31 Mar 2013	Phil Long	Complete with exception of RDH and depot

CRR 12 Customer Expectations






Risk Code	Risk Title	Description	Status
CRR 12	Customer Expectations	Failure to meet customer service standards meet customer expectations.	









Consequences Include CR02

Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Current Impact	C Medium	Current Likelihood	2 Not Likely	3 February 2010


Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Target Impact	A Low	Target Likelihood	2 Not Likely	Paul Cresswell

Risk Actions

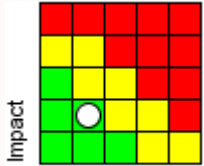
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP CB 0913 03	Expand Contact Centre through remainder of RDC departments	Expand Contact Centre through remainder of RDC departments	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: white;">0%</div>	31 Mar 2013	Paul Cresswell	Awaiting improvements to reception area of Ryedale House
	SDP CB 0913 05	Implement & publicise customer service standards	Implement & publicise customer service standards	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: white;">0%</div>	31 Mar 2010	Paul Cresswell	Yet to be undertaken
	SDP CB 0913 06	Undertake impact assessment on accessibility of services to customers	Expand Contact Centre through remainder of RDC departments	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: white;">0%</div>	31 Mar 2011	Paul Cresswell	Yet to be undertaken
	SDP CB 0913 15	Review NI14 data & sampling for 08/09 & provide feed back	Review NI14 data & sampling for 08/09 & provide feed back	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4f81bd; color: white;">60%</div>	31 Mar 2010	Paul Cresswell	Analysis undertaken with support of Project Manager (Transformation), next sample to taken through Cmetrix system.
	SDP CB 0913 18	Implement Customer Satisfaction surveys	Implement Customer Satisfaction surveys	<div style="border: 1px solid black; width: 100px; height: 20px; background-color: #4f81bd; color: white;">100%</div>	31 Mar 2010	Paul Cresswell	Currently undertaken manually

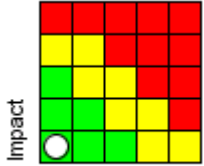
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP CB 0913 19	Undertake mystery shopping	Undertake mystery shopping		31 Mar 2010	Paul Cresswell	To work with North Yorkshire Customer Services Managers under the connect partnership
	SDP CB 0913 20	Identify & Implement new satisfaction system	Identify & Implement new satisfaction system		31 Mar 2010	Paul Cresswell	
	SDP CB 0913 21	Review Complaints procedures & where appropriate implement improvements	Review Complaints procedures & where appropriate implement improvements		31 Mar 2010	Paul Cresswell	New complaints process implemented, now called feedback and all information and cases managed through Covalent. Process of transferring all departmental information onto the system underway.
	SDP CB 0913 23	Publicise changes to complaints procedure	Publicise changes to complaints procedure		31 Mar 2010	Paul Cresswell	feedback procedures being promoted through all channels available to the Council at no cost

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


Current Risk Matrix	Current Rating Description			Last Review Date	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Current Impact	B Minor	Current Likelihood	2 Not Likely	3 February 2010

Target Risk Matrix	Target Rating Description			SMT Lead	
 <p style="font-size: small;">Impact</p> <p style="font-size: small;">Likelihood</p>	Target Impact	A Low	Target Likelihood	1 Very Low	Paul Cresswell

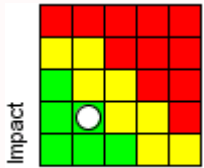
Risk Actions


Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP CB 0913 09	Review & develop effective fraud partnership with Scarborough	Review & develop effective fraud partnership with Scarborough	<div style="background-color: #4f81bd; color: white; padding: 2px; display: inline-block;">100%</div>	31 Mar 2010	Paul Cresswell; Paul Cresswell	12 month Contract commenced 5th October 2009 with Veritau

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


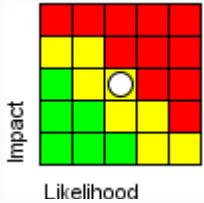
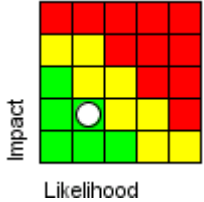



Current Risk Matrix	Current Rating Description			Last Review Date	
	Current Impact	Minor	Current Likelihood	Not Likely	3 February 2010

Target Risk Matrix	Target Rating Description			SMT Lead	
	Target Impact	Low	Target Likelihood	Very Low	Clare Slater

Risk Actions

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP CB 0913 15	Review NI14 data & sampling for 08/09 & provide feed back	Review NI14 data & sampling for 08/09 & provide feed back	<div style="background-color: #4a7ebb; width: 60%; height: 15px; display: inline-block;"></div> 60%	31 Mar 2010	Paul Cresswell	Analysis undertaken with support of Project Manager (Transformation), next sample to taken through Cmetrix system.
	SDP CB 0913 16	Identify & implement improved data collection system and reporting	Identify & implement improved data collection system and reporting	<div style="background-color: #4a7ebb; width: 100%; height: 15px; display: inline-block;"></div> 100%	31 Mar 2010	Paul Cresswell	Cmetrix system to be used for data collection
	SDP TT 0913 04	NI Data Quality Assurance	To manage the data quality of National Indicator returns	<div style="background-color: #4a7ebb; width: 100%; height: 15px; display: inline-block;"></div> 100%	30 Apr 2009	Clare Slater	Key actions required of HofS in relation to delivering data quality strategy for 2009/10

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.					
Current Risk Matrix		Current Rating Description				Last Review Date	
		C	Current Likelihood	3	3 February 2010		
Likelihood		Medium		Likely			
Target Risk Matrix		Target Rating Description				SMT Lead	
		B	Target Likelihood	2	Paul Cresswell		
Likelihood		Minor		Not Likely			
Risk Actions							
	SDP D 0913 01	To deliver annual efficiency savings included in 2009/10 budget.	To deliver annual efficiency savings included in 2009/10 budget.	<div style="border: 1px solid black; width: 80px; height: 15px; background-color: #4a7ebb; color: white; display: flex; align-items: center; justify-content: center;">100%</div>	31 Mar 2010	Paul Cresswell	On target to achieve savings included in 2009-10 budget.
	SDP D 0913	Deliver the Corporate efficiency programme	Deliver the Corporate efficiency programme	<div style="border: 1px solid black; width: 80px; height: 15px; background-color: #4a7ebb; color: white; display: flex; align-items: center; justify-content: center;">80%</div>	31 Mar 2013	Paul Cresswell	Considered by members of Resources Working Party.
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP TT 0913 34	Value for Money	Develop VFM processes and benchmarking across all services	<div style="border: 1px solid black; width: 80px; height: 15px; background-color: #4a7ebb; color: white; display: flex; align-items: center; justify-content: center;">35%</div>	31 Mar 2010	Clare Slater	Implementation of the VFM strategy now underway being led by the Transformation Team. VFM reviews being undertaken Heads of Services. Order of priority linked to One 11 programme