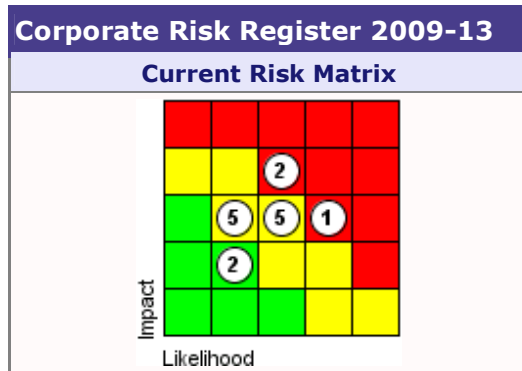



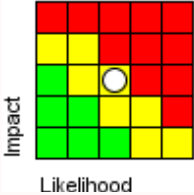
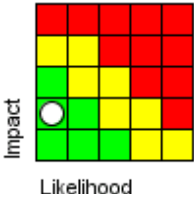

# Corporate Risk Register


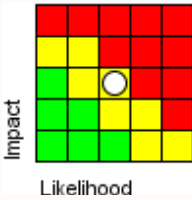
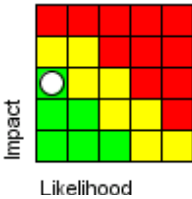


**Report Type:** Risks Report  
**Generated on:** 06 October 2009



Key		Key	
Risk Status		Action Status	
	OK		Cancelled
	Warning		Overdue
	Alert		Check Progress
	Unknown		In Progress
			Completed

Summary					
Status	Code	Title	Status	Code	Title
	CRR 01	Significant Partnerships		CRR 09	Governance Arrangements
	CRR 02	Capital Programme		CRR 10	Major Incident
	CRR 03	Staff Management		CRR 11	Council Assets
	CRR 04	External Funding		CRR 12	Customer Expectations
	CRR 05	Affordable Housing		CRR 13	Fraud and Corruption
	CRR 06	Procurement		CRR 14	Data Quality
	CRR 07	Health and Safety		CRR 15	Delivering Efficiencies
	CRR 08	Business Continuity Planning			

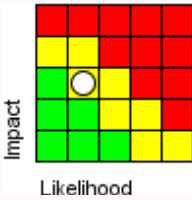
CRR 01 Significant Partnerships							
Risk Code	Risk Title		Description	Status			
CRR 01	Significant Partnerships		That the Council fails to manage its partnerships effectively				
<b>Consequences</b>			Financial cost to the Council through partnership failure, breach of legislation by partnership with consequences for Council and its reputation, levels of service satisfaction and quality fall below acceptable levels.				
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>	<b>Last Review Date</b>			
			<b>ICL3 Significant</b>	25 Sep 2009			
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>	<b>SMT Lead</b>			
			IBL1 Noticeable	Clare Slater			
<b>Risk Actions</b>							
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="border: 1px solid black; width: 50px; height: 15px; background-color: #4f81bd; display: inline-block; position: relative;"> <span style="position: absolute; top: -5px; left: 50%; transform: translate(-50%, -50%); font-size: 10px;">75%</span> </div>	31 Mar 2010	Clare Slater	Partnership Governance Toolkit now in place and audit of current partnership arrangements underway.

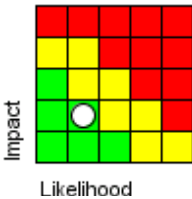
CRR 02 Capital Programme							
Risk Code	Risk Title		Description	Status			
CRR 02	Capital Programme		Failure to deliver capital programme for Council priorities, on budget and on time.				
<b>Consequences</b>			Failure to deliver the Council priorities				
Current Risk Matrix			Current Rating Description	Last Review Date			
			ICL3 Significant	27 Sep 2009			
Target Risk Matrix			Target Rating Description	SMT Lead			
			ICL1 Noticeable	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="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; color: white; display: flex; align-items: center; justify-content: center;">25%</div>	31 Mar 2010	Head of Service; 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="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; color: white; display: flex; align-items: center; justify-content: center;">30%</div>	31 Mar 2010	Phil Long	Majority of projects underway car park repairs programmed, civic suite tenders out, new boilers information back on gas planned in place by OCT/Nov, details awaited re bio mass

## 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


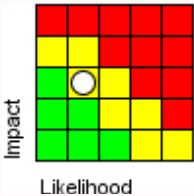
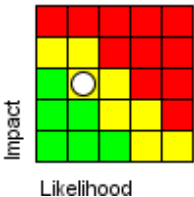


Current Risk Matrix	Current Rating Description	Last Review Date
	<b>ICL2 Significant</b>	29 Sep 2009





Target Risk Matrix	Target Rating Description	SMT Lead
	IBL2 Noticeable	Louise Sandall


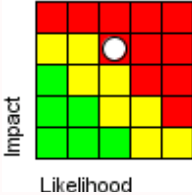
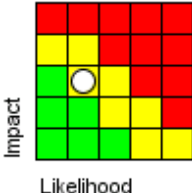




### Risk Actions

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: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%); font-weight: bold;">25%</span> </div>	31 Mar 2010	Head of Service; 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: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%); font-weight: bold;">20%</span> </div>	31 Mar 2010	Head of Service; Louise Sandall	A Skills and Qualification assessment has been completed, analysis of the data is underway. A draft Workforce plan has been completed.




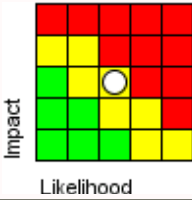
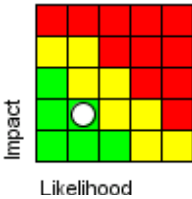

CRR 05 Affordable Housing							
Risk Code	Risk Title		Description	Status			
CRR 05	Affordable Housing		Housing need in Ryedale which can be met through the provision of affordable housing is not met.				
<b>Consequences</b>			Homelessness increases with resultant service costs. Unbalanced housing market. Negative impact on the local economy. Lack of key workers to support the needs of the community				
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>	<b>Last Review Date</b>			
			ICL2 Significant	27 Sep 2009			
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>	<b>SMT Lead</b>			
			ICL2 Significant	Gary Housden; Julian Rudd			
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP EH 0913 01	Implement the Housing Strategy Action Plan 2008-2011	To deliver affordable homes through the Housing Strategy Action Plan 2008-2011	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%);">25%</span> </div>	31 Mar 2011	Julian Rudd	SMART objectives within action plan. Responsibility for actions allocated to individuals.
	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="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%);">100%</span> </div>	31 Mar 2010	Phil Long	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).


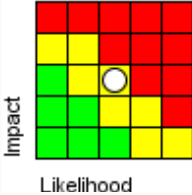
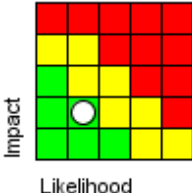



Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP P 0913 04	Strategic Housing Land Availability Assessment	To have a Strategic Housing Land Availability Assessment in place (SHLAA)		31 Mar 2010	Gary Housden	Draft SHLAA received and out to consultation with development industry until the end of September 2009. Final document expected November 2009.
	SDP P 0913 10	To deliver an LDF for Ryedale	To have a sound Local Development Framework for Ryedale		31 Dec 2011	Gary Housden	Consultation underway for Core Strategy and Development Plan Document for specific sites. (Cross referenced to Risk Code PL 1)


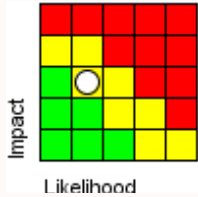
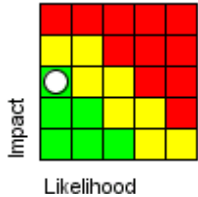




CRR 06 Procurement							
Risk Code	Risk Title		Description	Status			
CRR 06	Procurement						
<b>Consequences</b>			Failure to make efficiency savings. Priority projects not delivered to budget. Government penalties. Breach of legislation eg. equalities or health and safety. Damage to RDC reputation.				
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>		<b>Last Review Date</b>		
			<b>IDL3 Critical</b>		28 Sep 2009		
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>		<b>SMT Lead</b>		
			ICL2 Significant		Phil Long		
<b>Risk Actions</b>							
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		30 Oct 2008	Phil Long	Training provided by the North Yorkshire procurement partnership
	Corp Risk 06-A4	Detailed guidance on procurement to be established	--enter action details here--		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 Startegy 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					
<b>Consequences</b>		Failure to meet legislative requirements, prosecution and financial penalties incurred as a result of incident.					
<b>Current Risk Matrix</b>		<b>Current Rating Description</b>	<b>Last Review Date</b>				
		ICL3 Significant	28 Sep 2009				
<b>Target Risk Matrix</b>		<b>Target Rating Description</b>	<b>SMT Lead</b>				
		IBL2 Noticeable	Phil Long				
<b>Risk Actions</b>							
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	

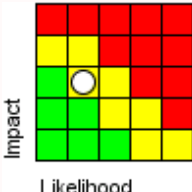
CRR 08 Business Continuity Planning							
Risk Code	Risk Title		Description	Status			
CRR 08	Business Continuity Planning		Failure to produce effective, comprehensive and tested plan.				
<b>Consequences</b>			Failure in continuity of service delivery. Negative impact on the most vulnerable on our communities. Damage to RDC reputation. Financial penalties and litigation				
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>	<b>Last Review Date</b>			
			<b>ICL3 Significant</b>	28 Sep 2009			
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>	<b>SMT Lead</b>			
			IBL2 Noticeable	Paul Cresswell			
<b>Risk Actions</b>							
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;">80%</div>	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;">0%</div>	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;">10%</div>	30 Sep 2008	Phil Long	Priority area of development within service delivery planning for 2009/10

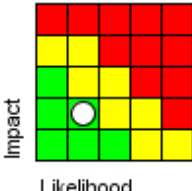
CRR 09 Governance Arrangements							
Risk Code	Risk Title		Description	Status			
CRR 09	Governance Arrangements						
<b>Consequences</b>							
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>			<b>Last Review Date</b>	
			ICL2 Significant			28 Sep 2009	
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>			<b>SMT Lead</b>	
			ICL1 Noticeable			Anthony Winship	
<b>Risk Actions</b>							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	Corp Risk 09-A1	Risk Management Member Training		<div style="width: 100%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 100%	30 Jul 2008	Paul Cresswell	
	Corp Risk 09-A2	AGS Improvement Plan		<div style="width: 19%;"><div style="background-color: #4f81bd; height: 10px;"></div></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%;"><div style="background-color: #4f81bd; height: 10px;"></div></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%;"><div style="background-color: #4f81bd; height: 10px;"></div></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**


Current Risk Matrix	Current Rating Description	Last Review Date
	ICL2 Significant	28 Sep 2009

Target Risk Matrix	Target Rating Description	SMT Lead
	IBL2 Noticeable	Phil Long

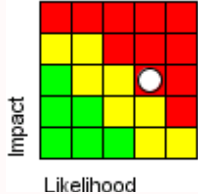
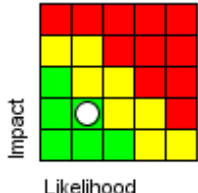
**Risk Actions**

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; width: 100%; text-align: center; color: white;">100%</div>	31 Mar 2011	Phil Long	Areas prioritised and sandbags caught in priority locations subject to flash flood risk.



## CRR 11 Council Assets


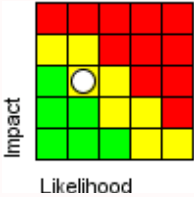
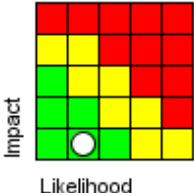




Risk Code	Risk Title	Description	Status
CRR 11	Council Assets	Ensure the Council has proper plan to ensure maintenance and fitness for purpose of the Council assets	




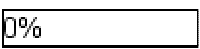

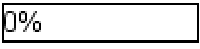

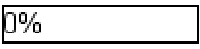


### Consequences


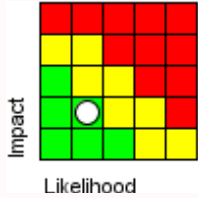
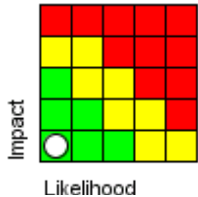

Current Risk Matrix	Current Rating Description	Last Review Date
	<b>ICL4 Critical</b>	28 Sep 2009
Target Risk Matrix	Target Rating Description	SMT Lead
	IBL2 Noticeable	Phil Long

### Risk Actions


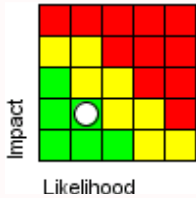
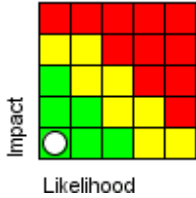



Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP FE 0913 01	Establish term maintenance contracts with suppliers/contractors for the planned maintenance items	Establish term maintenance contracts with suppliers/contractors for the planned maintenance items	<div style="border: 1px solid black; width: 80px; height: 15px; background-color: #add8e6; display: inline-block;">30%</div>	31 Mar 2010	Phil Long	Progress on going currently on schedule to be complete by end of financial year as contract comes up for renewal
	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: 80px; height: 15px; background-color: #add8e6; display: inline-block;">50%</div>	31 Mar 2010	Phil Long	Complete with exception of RDH and depot


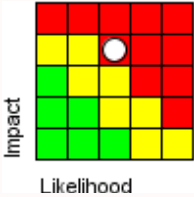
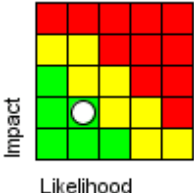



CRR 12 Customer Expectations							
Risk Code	Risk Title		Description	Status			
CRR 12	Customer Expectations		Failure to meet customer service standards meet customer expectations.				
<b>Consequences</b>			Include CR02				
Current Risk Matrix			Current Rating Description	Last Review Date			
			<b>ICL2 Significant</b>	28 Sep 2009			
Target Risk Matrix			Target Rating Description	SMT Lead			
			IAL2 Noticeable	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	<input type="text" value="0%"/>	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	<input type="text" value="0%"/>	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	<input type="text" value="0%"/>	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	<input type="text" value="0%"/>	31 Mar 2010	Paul Cresswell	To be undertaken with support of Project Manager (Transformation).

Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP CB 0913 18	Implement Customer Satisfaction surveys	Implement Customer Satisfaction surveys		31 Mar 2010	Paul Cresswell	Currently undertaken manually
	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.				
<b>Consequences</b>			Financial loss to the Council, damage to our reputation and credibility				
<b>Current Risk Matrix</b>			<b>Current Rating Description</b>	<b>Last Review Date</b>			
			IBL2 Noticeable	28 Sep 2009			
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>	<b>SMT Lead</b>			
			IAL1 Noticeable	Paul Cresswell			
<b>Risk Actions</b>							
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="border: 1px solid black; width: 80px; height: 15px; background-color: #add8e6; margin: 0 auto;">15%</div>	31 Mar 2010	Paul Cresswell; Paul Cresswell	Considering options for future partnership delivery of fraud service. Temporary arrangement for delivery of service in partnership with Scarborough BC continuing in the interim.



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>Current Risk Matrix</b>			<b>Current Rating Description</b>	<b>Last Review Date</b>			
			IBL2 Noticeable	28 Sep 2009			
<b>Target Risk Matrix</b>			<b>Target Rating Description</b>	<b>SMT Lead</b>			
			IAL1 Noticeable	Clare Slater			
<b>Risk Actions</b>							
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	0%	31 Mar 2010	Paul Cresswell	To be undertaken with support of Project Manager (Transformation).
	SDP CB 0913 16	Identify & implement improved data collection system and reporting	Identify & implement improved data collection system and reporting	0%	31 Mar 2010	Paul Cresswell	looking at options including Govmetrix and Cmetrix.
	SDP TT 0913 04	NI Data Quality Assurance	To manage the data quality of National Indicator returns	100%	30 Apr 2009	Clare Slater	Completed and well received as part of the use of resources assessment work undertaken by external audit.

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.				
Current Risk Matrix			Current Rating Description		Last Review Date		
			IDL3 Critical		28 Sep 2009		
Target Risk Matrix			Target Rating Description		SMT Lead		
			IBL2 Noticeable		Paul Cresswell		
Risk Actions							
Status	Code	Title	Description	Progress Bar	Due Date	Lead	Latest Note
	SDP D 0913	Deliver the Corporate efficiency programme	Deliver the Corporate efficiency programme	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%);">73%</span> </div>	31 Mar 2013	Paul Cresswell	Considered by members of Resources Working Party on 17/06/09.
	SDP FR 0913 20	To deliver annual efficiency savings included in 2009/10 budget	To achieve and sustain insurance savings £50,000, Revenues restructure £35,000 and extra income £6,000.	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: white; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%);">0%</span> </div>	29 Jan 2010	Paul Cresswell	
	SDP TT 0913 34	Value for Money	Develop VFM processes and benchmarking across all services	<div style="border: 1px solid black; width: 100px; height: 15px; background-color: #4f81bd; position: relative;"> <span style="position: absolute; top: -10px; left: 50%; transform: translate(-50%, -50%);">35%</span> </div>	31 Mar 2010	Clare Slater	Implementation of the VFM strategy now underway being lead by the Transformation Team.