
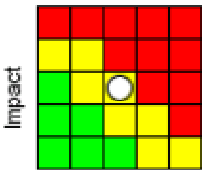





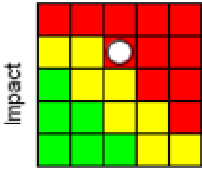
Corporate Risk Register with Actions Feb 2009

Generated on: 05 February 2009


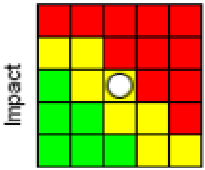

CR 01 Significant Partnerships

Risk Code	Risk Title	Description	Status			
CR 01	Significant Partnerships	Failure to manage & politically support significant partnerships, as formally identified by the Council.				
Consequences		Partnership Fails. Poor or interrupted service delivery. Reputation and financial damage to the Council. Partnerships fail to add value or to deliver improved outcomes				
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
	16	Critical	Clare Slater			
	Current Rating	Current Rating Description				
	9	Significant	Last Review Date			
	Target Rating	Target Rating Description	31/01/2009			
4	Noticeable					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 01-A1	Partnership Risk Registers	Partnership Risk Registers to be developed and reviewed by O and S	<div style="width: 33%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 33%	Clare Slater	Audit Partnership and Building Control Partnership Risk registers submitted to 18 12 09 O & S committee
	Corp Risk 01-A2	Partnership Protocol to be developed	Protocol to include: A cost/benefits toolkit An assessment framework for identifying significant partnerships A partnerships code of practice	<div style="width: 0%;"><div style="background-color: #4f81bd; height: 10px;"></div></div> 0%	Clare Slater	Partnerships Protocols to be submitted to P and R in June 2009. Member briefing on Partnerships to be arranged May 2009


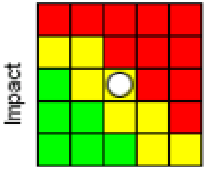


CR 02 Capital Programme

Risk Code	Risk Title	Description	Status			
CR 02	Capital Programme	Failure to deliver the Council's Capital Programme				
Consequences		Failure to deliver improvements in services and in outcome for residents. Have to return external funding. Financial penalties. Damage to the Councils reputation. Criticism from regulators. Failure to consider revenue implications				
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
	25	Critical	Paul Cresswell			
	Current Rating	Current Rating Description				
	12	Critical	Last Review Date			
	Target Rating	Target Rating Description	31/01/2009			
6	Significant					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note


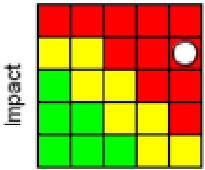


CR 03 Staff Management

Risk Code	Risk Title	Description	Status			
CR 03	Staff Management	Recruitment and Retention of Staff				
Consequences		Failure in service delivery. Low morale and motivation for staff. Inefficiency. Wasting resources. Recruitment and retention.				
Current Risk Matrix		Original Rating	Original Rating Description			
 <p>Impact</p> <p>Likelihood</p>		16	Critical			
		Current Rating	Current Rating Description			
		9	Significant			
		Target Rating	Target Rating Description			
		4	Noticeable			
			Last Review Date			
			31/01/2009			
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 03-A1	Workforce Development Plan	--enter action details here--	<input type="text" value="0%"/>	Louise Sandall	


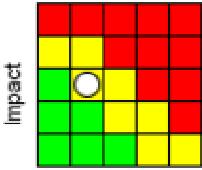




CR 04 External Funding

Risk Code	Risk Title	Description	Status			
CR 04	External Funding	Ability to optimise external funding opportunities				
Consequences		Increased costs to RDC. Failure to regenerate the local economy. Uncompetitive service delivery. Withdrawal or failure of a service. Inability to deliver new services				
Current Risk Matrix		Original Rating	Original Rating Description			
		16	Critical			
		Current Rating	Current Rating Description			
		9	Significant			
		Target Rating	Target Rating Description			
		6	Significant			
		Last Review Date				
		31/01/2009				
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 04	External Funding Opportunities	Ability to optimise external funding opportunities	<input type="text" value="0%"/>	Steve Mellalieu	
	Corp Risk 04-A1	Building external funding capacity	To build the capacity for identifying and accessing external funding opportunities, by including delivery capacity as as part of external funding bids	<input type="text" value="0%"/>	Julian Rudd	


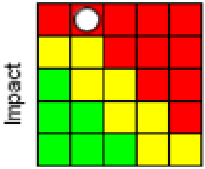

CR 05 Affordable Housing

Risk Code	Risk Title	Description	Status			
CR 05	Affordable Housing	RDC may not be able to meet its Affordable Housing targets				
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		Original Rating	Original Rating Description			
		25	Critical			
		Current Rating	Current Rating Description			
		20	Critical			
		Target Rating	Target Rating Description			
		16	Critical			
Lead						
Julian Rudd						
Last Review Date						
31/01/2008						
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 05-A1	Identify exception sites, explore banking and other possible innovative approaches.	Identify exception sites, explore land banking and other innovative approaches. Critical Success Factor/KPIs - no. of affordable homes delivered per year.	<input type="text" value="0%"/>	Gary Housden	
	Corp Risk 05-A2	Local Development Framework	To have a Ryedale Development Framework in Place and adopted by April 2011	<input type="text" value="0%"/>	Gary Housden	


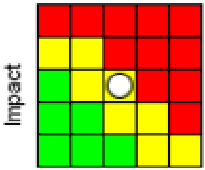


CR 06 Procurement

Risk Code	Risk Title	Description	Status			
CR 06	Procurement	Procurement of goods & services				
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	Original Rating	Original Rating Description	Lead			
 <p>Impact</p> <p>Likelihood</p>	16	Critical	Phil Long			
	Current Rating	Current Rating Description				
	6	Significant	Last Review Date			
	Target Rating	Target Rating Description	31/01/2009			
6	Significant					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 06-A1	Corporate Capacity	Develop Corporate Capacity and establish long-term access to cost-effective professional advice and support	<div style="width: 70%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">70%</div></div>	Paul Cresswell	Heads of Service appointed with remit to manage procurement for their areas of responsibility New Partnership being investigated to provide specialist support and standard documentation Procurement partnership arrangement being investigated.
	Corp Risk 06-A2	Purchasing System	Roll out Purchasing System across the Council to provide instant access to purchasing information	<div style="width: 20%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">20%</div></div>	Trevor Anderson	Implemented in Srteetscene. Needs project lead and plan for roll out to other services.
	Corp Risk 06-A3	Officer Training - Procurement	To provide staff at all levels on procurement best practice and our processes	<div style="width: 100%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">100%</div></div>	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--	<div style="width: 54%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">54%</div></div>	Phil Long	Corporate Procurement Startegy in place. Detailed Guidance on proicurement being prepared by the NY sub-region procurement partnership. To be published online in the near future.


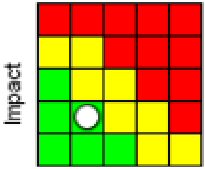


CR 07 Health and Safety incident

Risk Code	Risk Title	Description	Status			
CR 07	Health and Safety incident	A high profile Health and Safety incident would lead to sustained legal and media attention				
Consequences	Being charged with corporate manslaughter. Fines or other sanctions. Damage to RDC reputation. Poor service delivery standards.					
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
 <p>Impact</p> <p>Likelihood</p>	25	Critical	Louise Sandall			
	Current Rating	Current Rating Description				
	10	Significant	Last Review Date			
	Target Rating	Target Rating Description	13/01/2009			
10	Significant					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 07-01	Health and safety officer	Health and Safety Officer in post	<div style="border: 1px solid black; background-color: #4f81bd; color: white; padding: 2px; display: inline-block;">100%</div>	Louise Sandall	

CR 08 Business Continuity Planning

Risk Code	Risk Title	Description	Status			
CR 08	Business Continuity Planning	To have business continuity planning in place for the Council and within each service area.				
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		Original Rating	Original Rating Description			
 <p>Impact</p> <p>Likelihood</p>		16	Critical			
		Current Rating	Current Rating Description			
		9	Significant			
		Target Rating	Target Rating Description			
		6	Significant			
		Last Review Date				
		31/01/2009				
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 08-A1	BCP - implement and test plan	--enter action details here--	<input type="text" value="0%"/>	Paul Cresswell	
	Corp Risk 08-A2	BCP - Officer Training Required	--enter action details here--	<input type="text" value="0%"/>	Paul Cresswell	


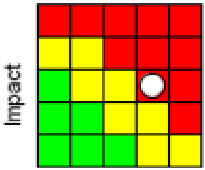

CR 09 Governance Arrangements

Risk Code	Risk Title	Description	Status			
CR 09	Governance Arrangements	To have Effective Governance Arrangements in place for the council and its partnerships				
Consequences	Failure in internal control of the organisation leads to major service or project failure. Failure to deliver the Councils priorities and improvements.					
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
 <p>Likelihood</p>	16	Critical	Paul Cresswell			
	Current Rating	Current Rating Description				
	4	Noticeable	Last Review Date			
	Target Rating	Target Rating Description	31/01/2009			
4	Noticeable					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 09-A1	Risk Management Member Training	--enter action details here--	<div style="width: 100%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">100%</div></div>	Paul Cresswell	
	Corp Risk 09-A2	AGS Improvement Plan	--enter action details here--	<div style="width: 29%;"><div style="background-color: #4f81bd; color: white; padding: 2px;">29%</div></div>	Anthony Winship	Delivery of the AGS Improvement Plan being monitored by O and S committee


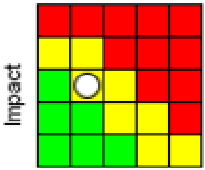

CR 10 Major Incident

Risk Code	Risk Title	Description	Status			
CR 10	Major Incident	Failure to manage a major incident in line with our responsibilities				
Consequences		Government sanctions or litigation. Negative outcomes for members of our communities. Failure to continue to deliver services. Damage to our reputation, and the local social, economic and environmental wellbeing of our communities				
Current Risk Matrix		Original Rating	Original Rating Description			
		20	Critical			
		Current Rating	Current Rating Description			
		8	Significant			
		Target Rating	Target Rating Description			
		10	Significant			
Lead						
Janet Waggott						
Last Review Date						
31/01/2009						
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 10-A1	Roles and responsibilities defined	--enter action details here--	<input type="text" value="0%"/>	David Summers	
	Corp Risk 10-A2	Regularly test arrangements	--enter action details here--	<input type="text" value="0%"/>	David Summers	


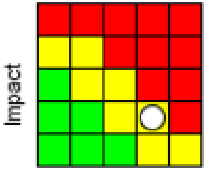

CR 11 Council Assets

Risk Code	Risk Title	Description	Status			
CR 11	Council Assets	Failure to manage the councils assets				
Consequences	Deteriorating assets, leading to a health and safety incident, unplanned remedial expenditure. Loss of service in relation to a particular asset.					
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
 <p>Impact</p> <p>Likelihood</p>	16	Critical	Phil Long			
	Current Rating	Current Rating Description				
	12	Critical	Last Review Date			
	Target Rating	Target Rating Description	31/01/2009			
6	Significant					
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 11-A1	Asset Management Plan to be updated	--enter action details here--	<input type="text" value="0%"/>	Phil Long	


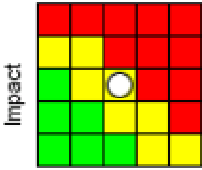



CR 12 Customer Expectations

Risk Code	Risk Title	Description	Status			
CR 12	Customer Expectations	Failure to manage customer expectations in relation to access to and availability of services				
Consequences		Reducing levels of customer satisfaction, negative outcomes or failure to improve services for customers and those in need.				
Current Risk Matrix		Original Rating	Original Rating Description			
		6	Significant			
		Current Rating	Current Rating Description			
		6	Significant			
		Target Rating	Target Rating Description			
		6	Significant			
		Last Review Date				
		31/01/2009				
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 12-A1	Action required to mitigate risk of not managing customer expectations	--enter action details here--	<input type="text" value="0%"/>	Paul Cresswell	

CR 13 Fraud and corruption

Risk Code	Risk Title	Description	Status			
CR 13	Fraud and corruption	Fraud and/or corruption incident occurs in the Council				
Consequences						
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
 <p>Likelihood</p>	8	Significant	Paul Cresswell			
	Current Rating	Current Rating Description		Last Review Date		
	8	Significant				
	Target Rating	Target Rating Description				
	8	Significant				
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 13-A1	Action required to mitigate risk of fraud incident	--enter action details here--	<input type="text" value="0%"/>	Paul Cresswell	

CR 14 Data Quality

Risk Code	Risk Title	Description	Status			
CR 14	Data Quality	--enter risk details here--				
Consequences						
Current Risk Matrix	Original Rating	Original Rating Description	Lead			
 <p>Impact</p> <p>Likelihood</p>	9	Significant	Clare Slater			
	Current Rating	Current Rating Description		Last Review Date		
	9	Significant	31/01/2008			
	Target Rating	Target Rating Description				
	6	Significant				
Risk Actions						
Status	Code	Title	Description	Progress Bar	Lead	Latest Note
	Corp Risk 14-A1	Training Programme	Deliver a formal training programme tailored to the needs of different staff	<input type="text" value="0%"/>	Clare Slater	
	Corp Risk 14-A2	Data from Third Parties	Check and validate data received from third parties	<input type="text" value="0%"/>	Clare Slater	
	Corp Risk 14-A3	Job Descriptions	Include Data Quality in job descriptions and staff appraisals for staff who work with data	<input type="text" value="0%"/>	Louise Sandall	Covalent is being revisited and relaunched as the councils data hub. Officers with responsibility for data on covalent clearly identified in service planning.