

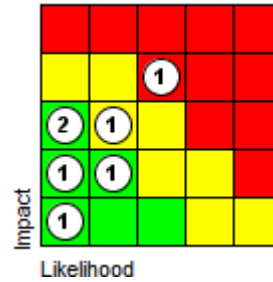
# Service Risk Register - Planning

Generated on: 01 December 2010





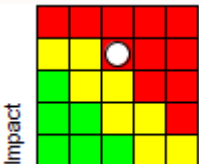
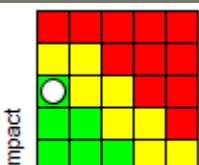
## Planning

### Current Risk Heat Map




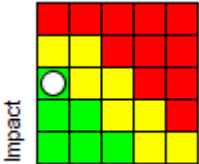






| Status      | Code    | Title                                   | Key  |             |  |  |    |  |         |  |       |  |         |
|-------------|---------|---|--|-------------|--|--|----|--|---------|--|-------|--|---------|
|             | PL 1    | Delivery of Local Development Framework | <table border="1"> <thead> <tr> <th colspan="2">Risk Status</th> </tr> </thead> <tbody> <tr> <td></td> <td>OK</td> </tr> <tr> <td></td> <td>Warning</td> </tr> <tr> <td></td> <td>Alert</td> </tr> <tr> <td></td> <td>Unknown</td> </tr> </tbody> </table> | Risk Status |  |  | OK |  | Warning |  | Alert |  | Unknown |
| Risk Status |         |   |  |             |  |  |    |  |         |  |       |  |         |
|             | OK      |   |  |             |  |  |    |  |         |  |       |  |         |
|             | Warning |   |  |             |  |  |    |  |         |  |       |  |         |
|             | Alert   |   |  |             |  |  |    |  |         |  |       |  |         |
|             | Unknown |   |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 2    | Planning Decisions                      |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 3    | Management of IT systems                |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 4    | Loss of land charge income              |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 5    | Data Quality                            |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 6    | Staff Recruitment & Retention           |  |             |  |  |    |  |         |  |       |  |         |
|             | PL 7    | Fraud and corruption                    |  |             |  |  |    |  |         |  |       |  |         |
|             |         |   |  |             |  |  |    |  |         |  |       |  |         |

**PL 1 Delivery of Local Development Framework**


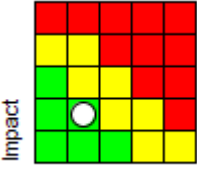
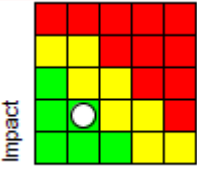
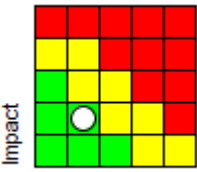
| Risk Code  | Risk Title                              | Description   | Status  |                            |                   |
|--|---|---|---|----------------------------|-------------------|
| PL 1   | Delivery of Local Development Framework | Produce an adopted statutory development plan for Ryedale.  |  |                            |                   |
| <b>Consequences</b>  |   | Out of date Policy document Failure to deliver sustainable communities Potential loss of effective control over future development in the district Adverse impact on likely grant awards- HPDG replaced with New Homes Bonus based on housing delivery. |   |                            |                   |
| <b>Original Matrix</b>   |   | <b>Original Rating Description</b>  |   |                            |                   |
|   |   | <b>Original Impact</b>  | D<br><br>Major  | <b>Original Likelihood</b> | 3<br><br>Likely   |
| <b>Current Risk Matrix</b>   |   | <b>Current Rating Description</b>   |   |                            |                   |
|   |   | <b>Current Impact</b>   | D<br><br>Major  | <b>Current Likelihood</b>  | 3<br><br>Likely   |
| <b>Target Risk Matrix</b>  |   | <b>Target Rating Description</b>  |   |                            |                   |
|    |   | <b>Target Impact</b>  | C<br><br>Medium   | <b>Target Likelihood</b>   | 1<br><br>Very Low |
| <b>Latest Progress</b>   |   |   |   | <b>Last Review Date</b>    | <b>SMT Lead</b>   |
| 01 Dec 2010 Technical evidence completed and Council has agreed Draft Core Strategy for consultation. Consultation period ended 5.11.10 and responses are being analysed before being reported back to Members. A new suite of National policy papers are out for consultation affecting housing and planning issues and the Localism Bill is awaited(expected early December 2010). Members to be briefed on both issues, |   |   |   | 29 Nov 2010                | Gary Housden      |

**PL 2 Planning Decisions**


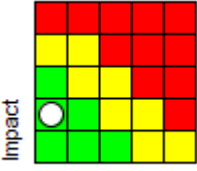

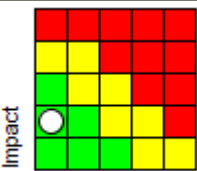
| Risk Code  | Risk Title         | Description   | Status  |                            |
|--|--------------------|---|---|----------------------------|
| PL 2   | Planning Decisions | Timely rigorous planning decisions  |  |                            |
| <b>Consequences</b>  |                    | Poor Council image. Maladministration. Possibility of legal challenge. Possibility of substantial costs incurred at appeal. Adverse impact on credibility of LPA-officer/member relations |   |                            |
| <b>Original Matrix</b>   |                    | <b>Original Rating Description</b>  |   |                            |
|   |                    | <b>Original Impact</b>  | C   | 2                          |
|  |                    |   | Medium  | <b>Original Likelihood</b> |
| <b>Current Risk Matrix</b>   |                    | <b>Current Rating Description</b>   |   |                            |
|   |                    | <b>Current Impact</b>   | C   | 2                          |
|  |                    |   | Medium  | <b>Current Likelihood</b>  |
| <b>Target Risk Matrix</b>  |                    | <b>Target Rating Description</b>  |   |                            |
|    |                    | <b>Target Impact</b>  | C   | 1                          |
|  |                    |   | Medium  | <b>Target Likelihood</b>   |
| <b>Latest Progress</b>   |                    |   | <b>Last Review Date</b>   | <b>SMT Lead</b>            |
| 01 Dec 2010 Training event held with Members re District Valuer-Development Viability Issues+ regular briefings on LDF.Core Strategy through draft consultation stage but publication version yet to be presented to and agreed by Council. Further training to be held for all Members post May2011 election . Officers attend regular CPD events and peer groups in North Yorkshire. |                    |   | 21 Sep 2009   | Gary Housden               |

| PL 3 Management of IT systems   |                          |   |   |                 |
|---|--------------------------|---|---|-----------------|
| Risk Code   | Risk Title               | Description   | Status  |                 |
| PL 3  | Management of IT systems | Providing robust accessible information systems.  |  |                 |
| <b>Consequences</b>   |                          | Inefficient/costly systems. Failure to improve service delivery. Reduced access to service/ possible adverse impact in terms of equalities agenda |   |                 |
| <b>Original Matrix</b>  |                          | <b>Original Rating Description</b>  |   |                 |
|    | <b>Original Impact</b>   | C   | <b>Original Likelihood</b>  | 2               |
|   |                          | Medium  |   | Not Likely      |
| <b>Current Risk Matrix</b>  |                          | <b>Current Rating Description</b>   |   |                 |
|    | <b>Current Impact</b>    | C   | <b>Current Likelihood</b>   | 1               |
|   |                          | Medium  |   | Very Low        |
| <b>Target Risk Matrix</b>   |                          | <b>Target Rating Description</b>  |   |                 |
|    | <b>Target Impact</b>     | B   | <b>Target Likelihood</b>  | 1               |
|   |                          | Minor   |   | Very Low        |
| <b>Latest Progress</b>  |                          |   | <b>Last Review Date</b>   | <b>SMT Lead</b> |
| 01 Dec 2010 Main systems all up to date and electronic access channels maximised for all organisations and individuals who are able to use them.<br>Land charge records still progress of being captured electronically to maximise benefits of TLC system. |                          |   | 02 Dec 2010   | Gary Housden    |


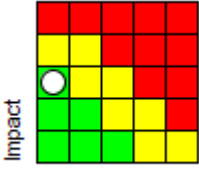

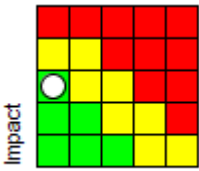
**PL 4 Loss of land charge income**

| Risk Code   | Risk Title                 | Description  | Status   |                 |                            |   |       |            |
|---|----------------------------|--|--|-----------------|----------------------------|---|-------|------------|
| PL 4  | Loss of land charge income | Retaining competitiveness of the service.  |   |                 |                            |   |       |            |
| <b>Consequences</b>   |                            | Net increase in cost to the Council of running service. Possible loss of service |  |                 |                            |   |       |            |
| <b>Original Matrix</b>  |                            | <b>Original Rating Description</b>   |  |                 |                            |   |       |            |
|    |                            | <b>Original Impact</b>   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 379 1464 421" style="text-align: center;">B</td> <td data-bbox="1464 379 1778 421" rowspan="2" style="text-align: center;"><b>Original Likelihood</b></td> <td data-bbox="1778 379 2130 421" style="text-align: center;">2</td> </tr> <tr> <td data-bbox="1128 421 1464 592" style="text-align: center;">Minor</td> <td data-bbox="1778 421 2130 592" style="text-align: center;">Not Likely</td> </tr> </table> | B               | <b>Original Likelihood</b> | 2 | Minor | Not Likely |
| B   | <b>Original Likelihood</b> | 2  |  |                 |                            |   |       |            |
| Minor   |                            | Not Likely   |  |                 |                            |   |       |            |
| <b>Current Risk Matrix</b>  |                            | <b>Current Rating Description</b>  |  |                 |                            |   |       |            |
|    |                            | <b>Current Impact</b>  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 633 1464 675" style="text-align: center;">B</td> <td data-bbox="1464 633 1778 675" rowspan="2" style="text-align: center;"><b>Current Likelihood</b></td> <td data-bbox="1778 633 2130 675" style="text-align: center;">2</td> </tr> <tr> <td data-bbox="1128 675 1464 845" style="text-align: center;">Minor</td> <td data-bbox="1778 675 2130 845" style="text-align: center;">Not Likely</td> </tr> </table>  | B               | <b>Current Likelihood</b>  | 2 | Minor | Not Likely |
| B   | <b>Current Likelihood</b>  | 2  |  |                 |                            |   |       |            |
| Minor   |                            | Not Likely   |  |                 |                            |   |       |            |
| <b>Target Risk Matrix</b>   |                            | <b>Target Rating Description</b>   |  |                 |                            |   |       |            |
|   |                            | <b>Target Impact</b>   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1128 887 1464 928" style="text-align: center;">B</td> <td data-bbox="1464 887 1778 928" rowspan="2" style="text-align: center;"><b>Target Likelihood</b></td> <td data-bbox="1778 887 2130 928" style="text-align: center;">2</td> </tr> <tr> <td data-bbox="1128 928 1464 1099" style="text-align: center;">Minor</td> <td data-bbox="1778 928 2130 1099" style="text-align: center;">Not Likely</td> </tr> </table> | B               | <b>Target Likelihood</b>   | 2 | Minor | Not Likely |
| B   | <b>Target Likelihood</b>   | 2  |  |                 |                            |   |       |            |
| Minor   |                            | Not Likely   |  |                 |                            |   |       |            |
| <b>Latest Progress</b>  |                            |  | <b>Last Review Date</b>  |                 |                            |   |       |            |
| <p>01 Dec 2010 Fees set at competitive levels and response times achieving high levels re 5 day turn round time (including NYMNP and NYCC). Very low levels of activity from personal search companies. In house responses much improved response times as a result of shared information ie Radon gas map.</p> |                            |  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="1778 1141 1861 1236" style="text-align: center;"><b>SMT Lead</b></td> <td data-bbox="1861 1141 2130 1236" style="text-align: center;">Gary Housden</td> </tr> </table>  | <b>SMT Lead</b> | Gary Housden               |   |       |            |
| <b>SMT Lead</b>   | Gary Housden               |  |  |                 |                            |   |       |            |


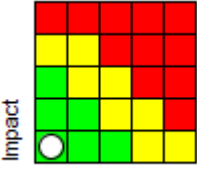
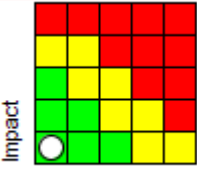

**PL 5 Data Quality**

| Risk Code  | Risk Title   | Description  | Status  |                            |
|--|--------------|--|---|----------------------------|
| PL 5   | Data Quality | Failure to deliver accurate, reliable and timely information in respect of all N.I.'s and local performance indicators |  |                            |
| <b>Consequences</b>  |              | Loss of credibility. Loss of reputation /poor public image. Possible loss of grant income                              |   |                            |
| <b>Original Matrix</b>   |              | <b>Original Rating Description</b>   |   |                            |
|   |              | <b>Original Impact</b>   | B   | 1                          |
|  |              |  | Minor   | <b>Original Likelihood</b> |
| <b>Current Risk Matrix</b>   |              | <b>Current Rating Description</b>  |   |                            |
|   |              | <b>Current Impact</b>  | B   | 1                          |
|  |              |  | Minor   | <b>Current Likelihood</b>  |
| <b>Target Risk Matrix</b>  |              | <b>Target Rating Description</b>   |   |                            |
|    |              | <b>Target Impact</b>   | B   | 1                          |
|  |              |  | Minor   | <b>Target Likelihood</b>   |
| <b>Latest Progress</b>   |              |  | <b>Last Review Date</b>   | <b>SMT Lead</b>            |
| 01 Dec 2010 All relevant staff trained and up to date. Managers aware of need to train new staff as occasions arise. Designated officers for cross-organisation areas of work ie. Climate Change- Improved Local Biodiversity. |              |  | 21 Sep 2009   | Gary Housden               |

**PL 6 Staff Recruitment & Retention**

| Risk Code  | Risk Title                    | Description  | Status  |                            |                 |
|--|-------------------------------|--|---|----------------------------|-----------------|
| PL 6   | Staff Recruitment & Retention | Ability to attract and keep experienced competent staff.                             |  |                            |                 |
| <b>Consequences</b>  |                               | Drop in performance. Reduced staff morale. Increased complaints. Loss of reputation. |   |                            |                 |
| <b>Original Matrix</b>   |                               | <b>Original Rating Description</b>   |   |                            |                 |
|   |                               | <b>Original Impact</b>   | C   | <b>Original Likelihood</b> | 1               |
|  |                               |  | Medium  |                            | Very Low        |
| <b>Current Risk Matrix</b>   |                               | <b>Current Rating Description</b>  |   |                            |                 |
|   |                               | <b>Current Impact</b>  | C   | <b>Current Likelihood</b>  | 1               |
|  |                               |  | Medium  |                            | Very Low        |
| <b>Target Risk Matrix</b>  |                               | <b>Target Rating Description</b>   |   |                            |                 |
|    |                               | <b>Target Impact</b>   | C   | <b>Target Likelihood</b>   | 1               |
|  |                               |  | Medium  |                            | Very Low        |
| <b>Latest Progress</b>   |                               |  |   | <b>Last Review Date</b>    | <b>SMT Lead</b> |
| 01 Dec 2010 Managers continue to monitor the market place and identify action(s) where needed to train develop and retain key staff. |                               |  |   | 05 Oct 2009                | Gary Housden    |

PL 7 Fraud and corruption

| Risk Code   | Risk Title           | Description   | Status  |                            |          |
|---|----------------------|---|---|----------------------------|----------|
| PL 7  | Fraud and corruption | Having rigorous systems in place to prevent fraud and corruption occurring.             |  |                            |          |
| <b>Consequences</b>   |                      | Loss of income. Loss of reputation/bad publicity. Poor rating from external inspectors. |   |                            |          |
| <b>Original Matrix</b>  |                      | <b>Original Rating Description</b>  |   |                            |          |
|    |                      | <b>Original Impact</b>  | A   | <b>Original Likelihood</b> | 1        |
|   |                      |   | Low   |                            | Very Low |
| <b>Current Risk Matrix</b>  |                      | <b>Current Rating Description</b>   |   |                            |          |
|    |                      | <b>Current Impact</b>   | A   | <b>Current Likelihood</b>  | 1        |
|   |                      |   | Low   |                            | Very Low |
| <b>Target Risk Matrix</b>   |                      | <b>Target Rating Description</b>  |   |                            |          |
|   |                      | <b>Target Impact</b>  | A   | <b>Target Likelihood</b>   | 1        |
|   |                      |   | Low   |                            | Very Low |
| <b>Latest Progress</b>  |                      |   | <b>Last Review Date</b>   | <b>SMT Lead</b>            |          |
| 01 Dec 2010 Service has been regularly audited and (where recommended) actions have been put in place to resolve potential areas of concern re financial controls. Internal audit have found no areas of serious concern. |                      |   | 05 Oct 2009   | Gary Housden               |          |