Function	Corporate & Service Plan Objectives		Project/Tasks		Risk Rating	Target Date	Review Date	Action Required	Accountable Person	Measurable Outcome	Progress To Date	Actual Completion Date	
RISK MANAGEMENT	1	DSA2 - Provide support to the Governance and decision making functions of the Council	1.1	Re-establish and provide support to the Risk Management Strategy Steering Group (RMSSG).	A 2	02.11.05	Annually	Determine representation on group / arrange meeting / agree adimin support / Prioritise agenda items / Corporate risk review / review software requirements / SIC / CPA / Determine assurance function / schedule meeting / partnership risks / Communicate refocus and timetabling on RMSSG/ Schedule of meetings agreed.	Stuart Wardle	RMSSG meeting is held with appropriately prioritised agenda and measurable outcomes detailed in minutes. Project Plan adherence		01.01.07	
	1a	Outcome 6 - Develop risk management to ensure it remains an integral part of business processes and decision-making.	1.2	Report on risk management progress and liaison with Audit Committee.	A 2	01.01.06	Annually	Regular progress reports to Audit Committee. Develop Audit Committee Risk assurance work programme	Stuart Wardle	Audit report (Use of Resources- KLOE) confirm Councils arrangements are adequate. SIC confirmation.	Development of Risk Mgt Performance Workplan to monitor progress completed and used to inform Audit committee of progress	May-06	
	1b	HLA 9 - Develop and keep under review Risk Management Strategy	1.3	Develop future Audit Committee links.	C 2	01.02.06	6 Monthly	Report to RMSSG / Link to political management review – Annual Meeting of Council.	Stuart Wardle	Develop future Audit Committee links. Ensure risk strategy is integrated with Audit Committee & Internal Audit processes and work programmes.		May 06 and ongoing	
	2	DSA 3 - To effectively manage and continually improve the Unit's services	1.4	Facilitate Corporate Risk Review.	B 2	28.02.08 (Changed from 30.09.07)	01.02.08 (Changed from 30.09.07)	Create Risk Management Action Plans.	Stuart Wardle	Risk Management Action Plans created.	Service Planning Risks completed 20/09/07. Impact of the LGR has led to the Executive and MT "desktop" reviews being postponed from Nov 2007. Arrangements being finalised for CRR involving Mgt Team & Executive for late February 2008.		
	2a	Outcome 8 - Improved effectiveness and efficiency in service delivery.	1.5	Risk Management Action Plans are monitored and reviewed	B 2	30.09.07	Quarterly - Apr-08	Effective assurance arrangements are in place to monitor and review key risks across the Council	Stuart Wardle Gordon Fletcher	Assurance obtained that risks are effectively managed, monitored and reviewed. Risk assessments appropriate & effective.	Audit Committee review progress on the top 4 Key Corporate risks. Internal Audit provide assurance via RMSSG. Risk Mangement arrangements to be reviewed as per Internal Audit work plan and additional assurance provided by audit report on quarterly basis. Date of next report; Apr-08	Refer to Internal Audit work plan	
	2b	HLA 11 - Implement improvements in service design, performance management and service process as outlined in BVRSS Improvement Plan.	1.6	To provide risk management support to Council's Service Units and Partners	C 2	Mar-07	Quarterly	Raise awareness of RM function. Undertake unit review / survey and provide guidance	Stuart Wardle	Council's practical application and understanding of RM is enhanced with measurable benefits / Review of Risk Mgt Function (BVRSS)		Sept 06 and Ongoing	
	2c	To ensure performance management principles are integrated within the risk management function.	1.7	Develop Risk Management Training in accordance with Risk Strategy	C 2	Mar-07	Mar-07	Develop & Implement appropriate training programme and resource for: Employees, Members, Partners and induction	Stuart Wardle	Training programme and resource in place and training completed and monitored and reviewed for effectiveness.	Training Programme completed and subject to annual refresher Sept 07. Induction pack completed Oct 07. Member Awareness Session completed 22/11/07. Audit Committee Members training scheduled for Jan-08: Refresher AC Training 17.01.08 New AC Member Training 24.01.08	Sept 07 and Ongoing	
	2d	Improve budget service planning and provide Value For Money.	1.8	Ensure responsibility for managing risk is included in appropriate job descriptions or a core management competency	C 2	Mar-08	Aril 08	Liaise with HR to include Risk management in appropriate job descriptions & core competency framework	Stuart Wardle	Risk Management is included within appropriate job descriptions.	Confirmation received from Head of HR to include responsibility for R Mgt in JD's for Service Heads & Functional Managers	01.08.07	
	3	Achievement of Use of Resources - Key Lines of Enquiry [Ref: KLOE 4.1 and 4.3 - "The Council manages its significant business risks"]	1.9	Review Risk Management training needs.	B 2	Oct-07	Nov-07	Perform gap analysis ("where we are, where we need to be, how do we get there"). Complete Corporate Risk Management training needs analysis.	Stuart Wardle	Service Unit Gap analysis report with SWOT and STEEP inclusion. Training needs analysis completed. Integrate needs analysis into established Risk Management Training Programme.	Service Unit questionnaire completed and utilised to develop future training plan/options. Inclusion of training needs proforma in induction booklet. Ad Hoc advice, training and support carried out to Services Heads on request.	Oct 07 and Ongoing	
			1.10	Engage appropriate Council staff in the effective use of Risk Register software.	B 2	Mar-07	Quarterly (Changed From Aug-07)	Undertake service unit review / survey on RM / assess outcomes of RM usage and their measurable benefits / Provide dedicated support and ongoing training to software users.	Stuart Wardle	Risk software fully integrated and utilised within Councils Risk Management process	Slippage with Service planning risks and use of Risk Register by Services. Provision of direct support by Risk Mgt function to capture risks and management action plans continues to be provided to ensure achievement of tasks.	Red To Amber Jan-08	
			1.11	Strengthen Corporate approach to risk, report to Management Team and link to Corporate Governance.	A 2	30.07.06	01.09.06	Raise awareness of RM function. Undertake unit review / survey and provide guidance / link to RMSSG.	Stuart Wardle	Management Team approval to revised Risk Management approach		Oct-06	
			2.1	Roll out risk software to Authority using a project planned and phased approach	B 2	01.04.06	01.06.06	Draw up project plan / liaise with software company for training / identify delegates / communicate effectively.	Stuart Wardle	RSL risk management software rolled out to all nominated delegates within time and budget constraints		Nov-06	
			2.2	To adopt a project & performance management approach to risk management	C 2	Ongoing	31.06.07	Use project & performance management principles in planning and implementing risk measures. Creation of risk work plan. Monitor and update risk work plan.	Stuart Wardle	Project deliverables met. Risk work plan created. Work plan monitored and updated.	Production of Risk Management Performance Work Plan 28.09.07	Sept 07 and Ongoing	
			2.3	Evidence of performance and use of performance management.	B 2	Ongoing	Quarterly	To seek Council approved Statement of Internal Control. Review risk assessments against target scores. Identify links to other functions and service units including cross-functional links within Democratic Services and Administration. Ensure measurable outcomes are in place.	Stuart Wardle	Successful performance delivery and measurable achieved / Risk assessment carried out and targets achieved / Illustrates performance	Production of Risk Management Performance Work Plan 28.09.07	Sept 07 and Ongoing	

Democratic Services And Administration

RISK MANAGEMENT	1	DSA2 - Provide support to the Governance and decision making functions of the Council	2.4	Effective budget monitoring	B 2	Ongoing	Monthly	Ensure effective budget monitoring is in place.	Stuart Wardle	Budgets effectively managed. Monthly budget returns submitted on time.	Monthly budget monitor in place for Risk Mgt Function	Ongoing	
	1a	Outcome 6 - Develop risk management to ensure it remains an integral part of business processes and decision-making.	2.5	Review, evaluate and maintain the units risk folder on the Councils T; drive and ensure that the filing system can be navigated in a user-friendly manner.	C 2	Ongoing	Quarterly	Review existing filing systems and complete gap analysis. Develop and implement revised filing arrangements and recording systems. Benchmarking / sharing best practice.	Stuart Wardle	Revised T; drive filing structure created, mapped and full engagement of unit staff. risk files can be quickly and easily stored and retrieved.	Existing filing system reviewed September 2007.	Sep-07	
	1b	HLA 9 - Develop and keep under review Risk Management Strategy	2.6	Review and monitor Risk Management information on the Councils website to ensure it is current and up to date.	C 2	Ongoing	Quarterly	Identify staff to update website. Review current arrangements / paper documentation / Gap analysis. Benchmarking / Best Practice / Draft website page content for unit work areas / Undertake monthly update reviews for web pages / Liaise with I.S. & Contact	Stuart Wardle	Risk information captured on Council website. Information is current and up to date.	Creation of Risk Management website September 2006.	Sept 06 and Ongoing	
	2	DSA 3 - To effectively manage and continually improve the Unit's services	3.1	The council has adopted a risk management strategy / policy that has been approved by members. (LEVEL 2)	D 2	Dec-06	Dec-06	Update and adopt revised Council Risk Strategy and Policy.	Stuart Wardle	Updated Risk Strategy & Policy in place and adopted by Council		Nov-06	
	2a	Outcome 8 - Improved effectiveness and efficiency in service delivery.	3.2	The risk management strategy/policy requires the council to: (LEVEL 2)									
	2b	HLA 11 - Implement improvements in service design, performance management and service process as outlined in BVRSS Improvement Plan.	3.2.1	Identify corporate and operational risks.	D 2	Dec-06	Dec-06	Include as part of updated Risk Strategy	Stuart Wardle	Included as part of updated Risk Strategy adopted by Council - November 06		Nov-06	
	2c	To ensure performance management principles are integrated within the risk management function.	3.2.2	Assess the risks for likelihood and impact.	D 2	Dec-06	Dec-06	Include as part of updated Risk Strategy	Stuart Wardle	Included as part of updated Risk Strategy adopted by Council - November 06		Nov-06	
	2d	Improve budget service planning and provide Value For Money.	3.2.3	Identify mitigating controls.	D 2	Dec-06	Dec-06	Include as part of updated Risk Strategy	Stuart Wardle	Included as part of updated Risk Strategy adopted by Council - November 06		Nov-06	
	3	Achievement of *Use of Resources - Key Lines of Enquiry* [Ref: KLOE 4.1 and 4.3 - "*The Council manages its significant business risks*"]	3.2.4	Allocate responsibility for the mitigating controls.	D 2	Dec-06	Dec-06	Include as part of updated Risk Strategy	Stuart Wardle	Included as part of updated Risk Strategy adopted by Council - November 06		Nov-06	
			3.3	The council maintains and reviews a register of its corporate business risks linking them to strategic business objectives and assigning ownership for each risk. (LEVEL 2)	A 2	Feb-08 Changed From May-07)	Jan-08 (Changed From May-07)	Risk Register is kept up to date and informs desktop Annual Corporate Risk review with Mgt Team, Executive	Stuart Wardle	Council's Risk Register is up to date and linked to Strategic Business Objectives	All Service Plan Risks completed Sept 2007. Arrangements being finalised for Corporate Risk Review involving Mgt Team & Executive for late Feb 2008 due to impact of LGR.		Red To Amber Jan-08
			3.4	Member responsibility for corporate risk management is identified in the terms of reference of one or more committees as appropriate. (LEVEL 2)	D 3	May-06	May-06	Include within Audit Committee terms of Reference and Executive Member Portfolio.	Stuart Wardle	Terms of Reference For Audit Committee and Executive portfolio include appropriate responsibilities		May 05 May 06	
			3.5	Reports to support strategic policy decisions, and project initiation documents, include a risk assessment. (LEVEL 2)	E 3	2003	2003	"All Reports, Projects, Decisions and activities are effectively risk managed and reviewed in accordance with the Council's Risk Management Policy & Strategy"	Stuart Wardle	All relevant Reports, Projects, Decisions & Activities include an appropriate Risk assessment		2003	
			3.6	The risk management process is reviewed and updated at least annually. (LEVEL 3)	E 3	Dec-07	Jan-08	RMSSG Terms of Reference includes need to keep under review effectiveness of Strategy & Policy	Stuart Wardle	RMSSG Review have reviewed annually the effectiveness of the Councils existing Strategy & Policy and recommended changes as required	Terms of referance reviewed & considered by RMSSG on 07.01.08 - no changes proposed.	Jan-08	
			3.7	The risk management process specifically considers risks in relation to significant partnerships and provides for assurances to be obtained about the management of those risks. (LEVEL 3)	B 2	Dec-07	Jan-08	Review resource to manage Partnerships and the assurance arrangements for managing risks therein as part of Review arising from BVRSS	Tom Bell Stuart Wardle	Resources identified and arrangements in place to identify partnership risks and establish assurance framework as part of Partnership Framework & Local Code of Governance	Risk Mgt Toolkit specifically includes Partnerships. Council has adopted Partnership Framework. Assurance in place for Key/Significant Partnerships. Further work required to comply with Partnership Framework. Progrss identified as part of BVRSS.		(red)
			3.8	All appropriate staff are given relevant training and guidance to enable them to take responsibility for managing risk within their own working environment. (now bold). (LEVEL 3)	C 3	In Place & Ongoing	Nov-07	Include as part of Risk Workplan Project/Tasks 1.7 and 1.10 Consider Risk Mgt as part of Corporate Employee Induction	Stuart Wardle	Relevant training provided to appropriate staff and included as part of corporate employee induction.	Induction Pack and *Refresher* training programme being finalised		
			3.9	The members with specific responsibility for risk management have received risk management awareness training. (LEVEL 3)	D 3	In Place & Ongoing	Jan-08 (Changed From Nov-07)	Training in place ... keep under review as part of Risk Workplan Project/Tasks 1.7 and 1.10	Stuart Wardle	Appropriate training provided to Members. Formal training record in place.	Audit Committee Training programmed for 2008. Refresher AC Training 17.01.08 New AC Member Training 24.01.08		

RISK MANAGEMENT													
	1	**DSA2 - Provide support to the Governance and decision making functions of the Council**	3.10	Members with responsibility for corporate risk management receive reports on a regular basis and take appropriate action to ensure that corporate business risks are being actively managed, including reporting to full council as appropriate. (**LEVEL 3**)	E 3	In Place & Ongoing	Nov-07	Training in place … keep under review as part of Risk Workplan Project/Tasks 1.7 and 1.10	Stuart Wardle	Progress reports to Audit Committee / Executive Member For Improvement sits on RMSSG / Feedback mechanism in place to all Executive Portfolio Members.	Quarterly Risk Mgt Progress Reports to Audit Committee. Key Corporate Risks considered as part of Audit Committee Risk Assurance Work Plan		green
	1a	Outcome 6 - Develop risk management to ensure it remains an integral part of business processes and decision-making.	3.11	A senior officer and member jointly champion and take responsibility for embedding risk management throughout the council. (**LEVEL 4**)	E 3	In Place & Ongoing	Nov-07	Director of Finance & Corporate Resources /Executive Member for Improvement	Stuart Wardle	Senior Officer and Member have been nominated.	Cllr F Shaw (Executive Member for Improvement) & Tom Bell (Director of Finance & Corp Services)		green
	1b	HLA 9 - Develop and keep under review Risk Management Strategy	3.12	The council can demonstrate that it has embedded risk management in its corporate business processes, including: (**LEVEL 4**)	E 3	In Place & Ongoing	Feb-08 (Changed From Nov-07)	Existing Corporate, Business, Service & Financial Planning & Policy and Performance Mgt arrangements include Risk Management	Stuart Wardle	Current Corporate, Business, Service, financial Planning and Policy & performance review includes Risk management as an integral element. (see Risk Strategy and current arrangements)	All reports include Risk implications. BVPP 2007 & Performance Mgt Framework includes links to Risk Mgt, Financial Planning is risk based. Service Planning included Service Risks. To review pending 2007/08 CRR.		amber
	2	**DSA 3 - To effectively manage and continually improve the Unit's services**	3.12.1	Strategic planning.	E 3	In Place & Ongoing	Feb-08 (Changed From Nov-07)	Existing Corporate, Business, Service & Financial Planning & Policy and Performance Mgt arrangements include Risk Management	Stuart Wardle	Current Corporate, Business, Service, financial Planning and Policy & performance review includes Risk management as an integral element. (see Risk Strategy and current arrangements)	- ditto -		amber
	2a	Outcome 8 - Improved effectiveness and efficiency in service delivery.	3.12.2	Financial planning.	E 3	In Place & Ongoing	Feb-08 (Changed From Nov-07)	Existing Corporate, Business, Service & Financial Planning & Policy and Performance Mgt arrangements include Risk Management	Stuart Wardle	Current Corporate, Business, Service, financial Planning and Policy & performance review includes Risk management as an integral element. (see Risk Strategy and current arrangements)	- ditto -		amber
	2b	HLA 11 - Implement improvements in service design, performance management and service process as outlined in BVRSS Improvement Plan.	3.12.3	Policy making and review	E 3	In Place & Ongoing	Feb-08 (Changed From Nov-07)	Existing Corporate, Business, Service & Financial Planning & Policy and Performance Mgt arrangements include Risk Management	Stuart Wardle	Current Corporate, Business, Service, financial Planning and Policy & performance review includes Risk management as an integral element. (see Risk Strategy and current arrangements)	- ditto -		amber
	2c	To ensure performance management principles are integrated within the risk management function.	3.12.4	Performance management.	E 3	In Place & Ongoing	Feb-08 (Changed From Nov-07)	Existing Corporate, Business, Service & Financial Planning & Policy and Performance Mgt arrangements include Risk Management	Stuart Wardle	Current Corporate, Business, Service, financial Planning and Policy & performance review includes Risk management as an integral element. (see Risk Strategy and current arrangements)	- ditto -		amber
	2d	Improve budget service planning and provide Value For Money.	3.13	All Members receive risk management awareness training. (**LEVEL 4**)	D 3	In Place & Ongoing	Nov-07	Training in place (Member Induction Programme and ongoing Member Training & Development Programme) … keep under review as part of Risk Workplan Project/Tasks 1.7 and 1.10	Stuart Wardle	Included as part of Members Induction Programme and ongoing training and development. Formal training records in place.	Refresher training programme completed and members scheduled for member awareness sessions Nov 07	Nov 07 and Ongoing	green
	3	**Achievement of *Use of Resources - Key Lines of Enquiry* [Ref: KLOE 4.1 and 4.3 - "*The Council manages its significant business risks*"]**	3.14	The council considers positive risks (opportunities) as well as negative risks (threats). (**LEVEL 4**)	D 2	Mar-06	Feb-08 (Changed From Dec-07)	Opportunity analysis already undertaken as part of Corporate Risk review. Include specific reference in updated Strategy & Policy & STORM Training & Handbook	Stuart Wardle	Opportunities have been considered as part of the Corporate Risk Management Strategy. (2005 Risk review) Specific reference to positive risks included within Risk Policy & Strategy & "STORM"	Opportunities to be considered as part of 2007/08 Corporate Risk review		amber
			3.15	The risk of fraud and corruption is specifically considered in the council's overall risk management process. (**LEVEL 4 – Extracted from KLOE 4.3**)	E 2	Ongoing	Nov-07	Fraud & Corruption Risks already considered as part of "STORM" Methodology. Include specific reference in updated "STORM" training and handbook	Stuart Wardle	Specific reference to Fraud & Corruption Risks included within "STORM" training & handbook	Fraud & Corruption specifically included as part of Risk mgt Toolkit	25.09.07	green