REVIEW OF PROGRESS FOR ACHIEVING ACTION PLAN 2010/11

Action plan for 2010/11 based on addressing the risk management requirements of KLOE 2.4 under the Comprehensive Area Assessment

<u>**Introduction**</u>

In all types of organisations and partnerships, there is the potential for events and outcomes to give rise to opportunities for benefits or threats to success. Good risk management concerns both positive and negative aspects of risk. It should maximise opportunities and encourage innovation. It is not about being risk averse.

'Risk management is a central part of any organisation's strategic management. It is the process whereby organisations methodically address the risks attaching to their activities with the goal of achieving sustained benefit within each activity and across the portfolio of all activities'.

Source: A Risk Management Standard, AIRMIC, ALARM, IRM, 2002.

CPA Requirements	Assessment at beginning 2010/11	Planned Action 2010/11	Current Position end 2010/11
1. Getting the basics right			
1.1 The cabinet ensures the council identifies and effectively manages corporate business risks in line with its risk management strategy.	Corporate and strategic risks are reviewed by Executive each quarter.	None required.	As per assessment at beginning of 2010/11.
1.2 A corporate focus on risk management ensures regular review and effective management of current and future risks.	Corporate and strategic risks are reviewed quarterly by Senior Management Team.	None required.	As per assessment at beginning of 2010/11.

1.3 Members are responsible for, and engage in, corporate risk management and work closely with the audit committee.	Both Executive and Finance & Audit Scrutiny Committee review the Corporate and Strategic Risk Register and review and approve the Annual Strategy.	None required.	As per assessment at beginning of 2010/11.
1.4 The council regularly reviews and updates a register of its corporate and service business risks which: • links risks to strategic objectives; • assesses the risks for likelihood and impact; and • assigns named individuals to lead on actions identified to mitigate each risk.	The Corporate and Strategic Risk Register links risks to strategic objectives, assesses the risks for likelihood and impact and assigns responsibility for risks to named officers. Risks are reviewed quarterly and the register is updated accordingly.	The Corporate and Strategic Risk Register to be realigned to fit in with the new Corporate Budget and Improvement Programme.	The Corporate and Strategic Risk Register (now known as Significant Business Risk Register) produced based on 'Fit for the Future' principles.
1.5 Risk management considers risks relating to significant partnerships and requires officers to obtain assurances about the management of those risks.	A revised Partnership Policy has been agreed but ongoing scrutiny arrangements need further consideration.	June Executive to consider a report recommending annual scrutiny of partnerships by F&A Scrutiny Committee.	Annual scrutiny of partnerships by F&A Scrutiny Committee is now in place and proving to be very effective. Six partnerships have been reviewed already with another five scheduled for the August cycle.
1.6 The council mainstreams partnership risk into organisational risk management reviews and reports on this regularly.	Partnership risks are included in service risk registers that are reviewed regularly.	None required.	As per assessment at beginning of 2010/11.

1.7 There may be organisational risks regarding partnership activities as well as risks in the partnership itself - the council understands and manages both types of risk.	Both types of risk are understood and managed accordingly within service risk registers.	None required.	As per assessment at beginning of 2010/11.
1.8 All those involved in the council's risk management arrangements receive relevant training and guidance.	Training is undertaken through senior officers forum sessions, core briefs and risk register reviews. Ad hoc training session are organised by the Audit and Risk Manager as requested.	None required.	As per assessment at beginning of 2010/11.
1.9 The council provides training as part of the induction process for new members of staff (however this will only cover a small proportion of staff), and also staff promoted within the council who have new risk management responsibilities.	Risk management information is provided as part of the corporate induction pack.	None required.	As per assessment at beginning of 2010/11.

2. Performs well

2.1 Senior management commitment (officer and members) ensures the council embeds risk management in its business processes, including: • strategic planning; • financial planning; • policy making, audit and review; • performance management; and • project management.	Significant progress is being made in embedding risk management in the Council's business processes through the establishment of a Council-wide Risk Management Working Group; Service Risk Registers; Corporate and Strategic Risk Register; and processes to review Risk Registers. Further development is needed on Project Risk Management.	Development of Project Risk Management outstanding.	To be addressed within new action plan.
2.2 The council equips all members to effectively undertake their roles and responsibilities for risk management. For example, the council delivers risk management awareness training suitable to members needs and responsibilities.	Risk management awareness training is arranged periodically for members. However, training has not been updated recently.	Arrange risk management training for members.	Training scheduled for 16 January 2012.
2.3 The council can demonstrate its partnerships have put in place risk management arrangements as part of setting priorities, policy making, financial planning and performance management. Arrangements may include routinely reviewing and updating a joint risk register.	The risk management arrangements put in place are proportionate but the authority is not reviewing the arrangements on an ongoing basis.	June Executive to consider a report recommending annual scrutiny of partnerships by F&A Scrutiny Committee.	See response to 1.5, above.

2.4 The council can demonstrate a positive risk culture and improved outcomes through effective partnership risk management.	This should be addressed by SMT citing specific examples. Our current arrangements don't readily identify this but the proposed arrangements will.	SMT to provide examples of where and how effective partnership risk management can deliver a positive risk culture and improved outcomes.	Risk management issues much more likely to be incorporated into reports, especially those that are project-related.

2.5 The council has effective liaison and operational working arrangements and the sharing of intelligence with relevant partnership organisations.	Effective liaison and operational working arrangements and the sharing of intelligence with partner organisations is by necessity longstanding and well-established.	None required.	As per assessment at beginning of 2010/11.
	A recent good example is the sharing of intelligence between ourselves, Police and WCC re possible unauthorised developments by travellers.		
	There is well-established arrangements for sharing intelligence with partner agencies relating to suspected benefit fraud.		
	With regard to Environmental Health functions:		
	• There are regional liaison groups between the Health & Safety Executive and district/borough Councils that meet regularly.		
	• There is regular exchange of information with the Food Standards Agency to provide data about food safety intervention work.		
	• There are regular meetings with the PCT and NHS in relation to health & wellbeing and exchange of information. A specific example of operational working is the Chlamydia screening programme implemented at WDC offices.		

2.6 Effective risk management supports the council in taking and managing significant risks to deliver innovative and challenging projects.	Again, this should be addressed by SMT citing specific examples.	SMT to provide examples of where and how effective risk management can deliver innovative and challenging projects.	
2.7 Other examples of outcomes through good risk management may include: • delivery of innovative projects; • a sound system of corporate governance; • confidence in the rigour of the Annual Governance Statement (AGS); • delivery of change management and organisational change; • lower risk and claim related costs; and • protection of reputation and improved management of the media.	Examples of where this is happening include: • Relocation of Customer Service Centre to Shire Hall • Restructuring of Senior Management Team • Positive response to Horse fairs in Kenilworth	None required.	As per assessment at beginning of 2010/11.