Business Unit: **CORPORATE**	Working Paper Number: **A/1**	
Subject: **CORPORATE GOVERNANCE -** **EVALUATING OPERATIONAL RISK REGISTERS**	Prepared By: M Robinson	Date: 27/07/06
	Reviewed By: T McCourt	Date: 29/08/06

No	Department	Service Plan Checked	Satisfactory identification of risk Yes/No	Comments on the Service Plans	Operational Risk Register Satisfactory Yes/No	Comments on the Operational Risk Register
1	Policy & Performance	a) Departmental b) Communications c) Human Resources & Payroll d) Performance Improvement	**No** **No** **No** **No**	a) No risks identified for key objectives b) No risks identified for key objectives c) No risks identified for key objectives d) No risks identified for key objectives	**PART**	Risks identified but no clear links from risks identified in the risk register to the key objectives in any of the service plans. Would help if the Risk number from the register was included in the service plan risk description. **Given the risk scores, PP7, PP9 and PP10 need to be actioned sooner rather than later – particularly PP9 with a score of 18.**

NB <u>**Maximum risk score = 27   Score of 12 and above, should be ensuring action is taken .**</u>

No	Department	Service Plan Checked	Satisfactory identification of risk Yes/No	Comments on the Service Plans	Operational Risk Register Satisfactory Yes/No	Comments on the Operational Risk Register
2	Customer Services	a) Departmental b) Customer Services c) Revenues & Benefits	Yes **No** Yes	a) - b) No risks identified for key objectives c) -	**PART**	No clear links from risks identified in the risk register to the key objectives in the Customer Services service plan. Would help if the risk number from the register was included in the service plan risk description. **[Risks will be linked in 2007/08 Service Plan]**
3	Finance & Business Development	a) Departmental b) Accountancy c) Audit & Fraud Prevention d) Business Development	Yes **PART** Yes Yes	a) - b) No risks identified for key objectives 3.3 & 3.5 c) - d) -	**PART**	Most risks identified can be linked to the key objectives of the service plans but it would help if the risk number from the register was included in the risk description in the service plan. Risks identified in Finance & Business Development departmental key objective 3.4 (plus same objective at 3.4 of the Business Development service plan) were not included in the operational risk register. **[These have now been added – 11/10/06]**

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No	Department	Service Plan Checked	Satisfactory identification of risk Yes/No	Comments on the Service Plans	Operational Risk Register Satisfactory Yes/No	Comments on the Operational Risk Register
4	Legal & Democratic Services	a) Departmental	Yes	a) Risks for the key objectives are identified at service plan level (b).	YES	Risks in the operational risk register are linked to the key service objectives. **Given the risk score of 12, LD15 needs to be actioned sooner rather than later.**
		b) Democratic Services	Yes	b) -		
		c) Elections & Emergency Planning	Yes	c) -		
		d) Legal Services	Yes	d) -		
5	Leisure & Environmental Services	a) Departmental	**No**	a) No risks identified for key objectives	**NO**	As at 31/7/06, only 1 risk identified linked to key objectives (other than the corporate risks e.g. staff retention). Increasing need to work with external partners to achieve objectives and this creates risks which need to be managed. As at 8/8/06, 3 further risks added to Risk Register in respect of Open Spaces & Street Scene.
		b) Community Development	**No**	b) No risks identified for key objectives		
		c) Environmental Health	**Part**	c) Risk element has been considered but no risks identified for key objectives [could be a generic risk e.g. staff retention]		
		d) Open spaces	**No**	d) No risks identified for key objectives		
		e) Waste Management	**No**	d) No risks identified for key objectives		

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No	Department	Service Plan Checked	Satisfactory identification of risk Yes/No	Comments on the Service Plans	Operational Risk Register Satisfactory Yes/No	Comments on the Operational Risk Register
6	Regeneration	a) Departmental	-	a) Departmental Plan not available.		**Being updated as at 31/7/06**
		b) Beacon /TIC	**Part**	b) Risk identified for only 1 out of 10 key objectives.		
		c) Economic & Tourism Development	Yes	c) -		
		d) Community Renewal	Yes	d) -		
		e) Development Services	Yes	e) -		
		f) Regeneration Strategy	**Part**	f) Risk identified partly in the section on "Challenges for 2005/07"but not directly linked to all key objectives.		
7	Sustainability & Nuclear Policy	a) Sustainability & Nuclear Policy	**No**	a) No risks identified for key objectives	**Part**	Most risks identified can be linked to the key objectives of the service plans but it would help if the risk number from the register was included in the risk description in the service plan. **Given the risk score of 12, SNP3 needs to be actioned sooner rather than later.**

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No	Department	Service Plan Checked	Satisfactory identification of risk Yes/No	Comments on the Service Plans	Operational Risk Register Satisfactory Yes/No	Comments on the Operational Risk Register
8	Corporate [Generic risks]	-	-	-	**YES**	These are the general risks that affect the whole Council and are not specifically linked to any one service plan. **Recently reviewed and updated by Corporate Team – October 2006.**

(ref: s:\2006\Committees\Audit Committee 01 11 06\Internal Audit Review of Operational Risk Registers Appendix A.doc)

NB **Maximum risk score = 27   Score of 12 and above, should be ensuring action is taken .**