

# Risk Management – Development Plan

## STATUS REPORT – April 2018

AGREED ACTION		STATUS	COMMENTS / ACTIONS
<b>1. OUTCOME: Decision makers are provided with relevant and proportional information regarding the risks that may be associated with the activity, project or initiative in order to support informed decision taking</b>			
1	Corporate Report Template and the associated Decision Making: Corporate Standards & Guidance for Officers to be amended and republished.	<b>COMPLETED (May 2017)</b>	'Risk Management' paragraph now included as part of the 'corporate report template' together with a link to guidance document that is intended to guide the report author in terms of the appropriate and proportional risk information that should be provided to the 'decision maker'.
2	Existing 'Decision Risk' guidance document to be amended.	<b>COMPLETED (May 2017)</b>	
3	Training / support for report authors to be made available.	<b>COMPLETED (Nov 2017)</b>	'Risk Management Essentials' guidance document developed together with associated 'e-learning' module in consultation Learning and Development which cover the key principles of risk management. In addition, regular reviews of the content of the risk management paragraphs in 'decision making' reports is undertaken in order to identify where further support or assistance may be required.
<b>2. OUTCOME: The Council has identified and understands the key risks that may impact on the delivery of its key priorities and outcomes and appropriate action is taken to manage or mitigate the risk where it is considered to be unacceptable</b>			
4	Annually, as part of the business planning process, CMT should review and consider the Council's strategic risks for the forthcoming period and consider what it requires in terms of output/information in respect of risk which, in turn, should reflect the Council's risk appetite.	<b>COMPLETED (July 2017/ April 2018)</b>	Annual CMT Risk Workshop held to review and refresh the council's Strategic Risk Register and to ensure that the risks are still appropriate, including consideration of any new or emerging risks. Risk Workshop held in July 2017, with the 2018 workshop to be held at the end of April.

AGREED ACTION		STATUS	COMMENTS / ACTIONS
5	Strategic Risk Register to be managed by the Strategy and Operations Hub Management Teams via a quarterly review process. Updated document to be circulated to CMT for noting.	<b>COMPLETED (End Q2 &amp; End Q3)</b>	The end Q2 and Q3 Strategic Risk Register updates were undertaken by the Strategy and Operations Hub Management Teams respectively with the updated documents circulated to CMT for noting.
6	A corporate risk reporting cycle to be adopted in line with the business planning and monitoring timetable.	<b>ACTION DEFERRED (to 2018-19)</b>	The content and format of corporate business planning process is currently under review.
<b>3. OUTCOME: Individual service areas have identified and understand the key risks that may impact on the delivery of key priorities and outcomes</b>			
8	Service Management Teams to identify and report on significant risks.	<b>COMPLETED (but to be rolled out across other services areas 18-19)</b>	Pilot exercise undertaken within Finance & Commercialisation prior to being rolled out across other service areas. Ideally to be aligned with the corporate business planning process in terms of seeking to ensure that the risks reflect and relate to key service priorities and outcomes.
9	A service risk reporting cycle to be aligned with the corporate risk reporting cycle.	<b>ACTION DEFERRED (to 2018-19)</b>	See comments in Item 6.
10	Service Management Teams to nominate a 'risk lead/sponsor'.	<b>ACTION DEFERRED (to 2018-19)</b>	See comments in Item 8.
11	Appropriate training / support to be made available.	<b>COMPLETED (Nov 2017)</b>	'Risk Management Essentials' guidance and 'e-learning' module in place which cover the key principles of risk management and provide foundation learning. In addition, information on how to develop a 'Service Risk Register' has been developed and published on the intranet.
<b>4. OUTCOME: Cabinet Members have an awareness and understanding of the key risks associated with their portfolio</b>			
12	Both the Strategic and Service Risk Register to include reference to the portfolio(s) to which the risks relate.	<b>COMPLETED (July 2017)</b>	Reference to 'Portfolio' is now reflected in the Strategic Risk Register. Service Risk Registers to be developed.

AGREED ACTION		STATUS	COMMENTS / ACTIONS
13	Risk reporting should be included as part of the Cabinet Member briefing process.	COMPLETED (Feb 2018)	A 'Risk Management' paragraph (as per Item 1) is now included in the standard template Cabinet Member Briefing document.
14	Service Lead - Risk, Insurance, Assurance & Audit to provide advice and support to service areas in terms of the risk information that is presented at Cabinet Member Briefings.	COMPLETED (March 2018)	Returns from individual Service Directors, as part of the Annual Governance Statement – Self Assessment, confirm that Cabinet Members were made aware of the key risks relating to their Portfolio. In addition, ad hoc support and guidance provided to officers.
<b>5. OUTCOME: There is a consistent and well understood corporate approach in respect of how risk is managed</b>			
15	The current draft Risk Management Policy should be refreshed for 2017-18 and presented to both CMT and the Governance Committee (April 2017 meeting) for approval.	COMPLETED (Feb 2017 / March 2018)	Risk Management Policy for the period 2017/18-20/21 approved by CMT / Governance Committee (Feb 17). Policy reviewed in March 2018 and presented to Governance Committee for approval in April 2018.
16	The Policy should include an annual 'Risk Management Action Plan'.	COMPLETED (Feb 2017 / April 2018)	The 'Development Plan' constitutes the action plan for 2017-18. 'Risk Management Action Plan' presented to Governance Committee for approval in April 2018.
17	The Risk Management Policy should be published on the intranet.	COMPLETED (March 2017)	Risk Management Policy 2017/18-20/21 published on the intranet.
18	The Risk Management Policy should be included in the strategy and policy framework (recognising that it will need to follow the corporate template in order that it meets the design standards for the council).	COMPLETED (Feb 2017)	The format of the Risk Management Policy is in accordance with the new strategy and policy framework template.
19	The Risk Management Policy to be approved by the Senior Leadership Team / Council Management Team and Cabinet Member in order to escalate the importance and it then hosted on the new policy hub.	COMPLETED (Feb 2017)	Risk Management Policy also approved by Council in February 17 (as part of the Medium Term Finance Strategy 17/18-20/21 document). Published on the new 'Policy Hub' under 'Level 3 -Supporting Policies, Plans and Guidance'

AGREED ACTION		STATUS	COMMENTS / ACTIONS
20	Communication and training options should be identified including consideration of e-learning for new or existing staff.	COMPLETED (Nov 2017)	'Risk Management Essentials' guidance and 'e-learning' module in place which cover the key principles of risk management and provide foundation learning. Reference to this learning is included in the 'Learning and Development Matrix' which is designed to be used in connection with the new Annual Performance Review process to ensure that any mandatory or required staff training is identified.
21	The new staff 'Performance Contracts' and the monitoring arrangements should provide the opportunity to reinforce expectations in respect of responsibilities for managing risk and to dispel any perceptions in respect of a 'blame culture'.	COMPLETED (June 2016)	The new standard Job Description Template includes a requirement that employees "escalate risks and issues which may impact any aspect of performance or the Council's reputation".