

Risk Management Implementation Plan – 24 July 2019

Item ref.	Action	Purpose/benefit	Owner	Timescale	Status	Comments
1	Produce a Risk Management Guidance document which supports the council's Risk Management Strategy.	To provide staff and Members with clear instruction on how to carry out their responsibilities within the risk management framework.	Veritau	08 October 2018		Completed. Risk Management Guidance drafted. Initial feedback provided by Leadership Team during 15/10/2018 meeting. The information required to finalise the document (see item 11) expected to be available following the Corporate Risk Workshop.
2	A corporate risk register update should be included in the Audit, Overview & Scrutiny Committee forward plan, scheduled for every six months.	Members are tasked with overseeing the effective management of risk by officers. In order to do this they need the opportunity to review the council's corporate risks and what is being done to manage them.	S151 Officer	31 October 2018		Completed. A corporate risk register update has been included in the Audit, Overview & Scrutiny Committee forward plan, scheduled for every six months.
3	Hold a Corporate Risk Workshop with Leadership Team and selected nominees.	To refresh the corporate risk register so that it better represents the key risks facing the Council and to 'test' items 4, 5 and 6 before they are approved and made part of the revised risk management framework.	Veritau	12 November 2018		Completed. Workshop held 12/11/2018 with output from exercises provided to CEX and Officer Risk Champion 13/11/2018.
4	Revisit the current 5x5 risk matrix and confirm that the current classification of 'High', 'Medium' and 'Low' remains appropriate.	Now that Leadership Team has defined its risk appetite and has a better understanding of what this looks like across a range of risk areas, it should ensure that the risk matrix (as the basis for risk control requirements) remains relevant.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
5	Decide on expectations for action planning, as follows: (1) To which category/categories of risk (i.e. 'High' and 'Medium' or 'High' only) action plans should be assigned (2) Whether or not action plans should be assigned on the basis of the original risk score or the current risk score	(1) To ensure that risk management efforts are proportionate to the level of risk exposure. (2) To ensure a common understanding of what action plans are designed to achieve. If the decision is taken that action plans are assigned on the basis of the original risk then no assumptions are made that existing controls are fully effective at bringing the risk down to its current level and ongoing action is required due to the inherent severity of the risk. If the decision is taken that action plans are assigned to the assessed current risk score then the action plan it is assuming that the controls already in place are effective in taking the risk from its original to its current level and the focus is on bringing the risk in line with the target risk.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
6	Review and agree on the risk criteria for quantifying the impact and likelihood of a risk as set out in the Risk Management Guidance.	Now that Leadership Team has defined its risk appetite and has a better understanding of what this looks like across a range of risk areas, this understanding should be applied to the risk analysis stage of the risk management process. The matrices have been aligned with the council's risk matrix (i.e. 'low' – 'disaster' and 'very low' – 'almost certain'), with impact risk criteria being defined for each of the areas covered in the risk appetite statement. A corporate steer on what a 'major' risk would look like in terms of financial risk, for example, and just how likely a risk that is defined as 'very likely' is to occur would be extremely useful context for staff when it comes to analysing a risk.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
7	Review and agree the monitoring and reporting requirements set out in the Risk Management Guidance.	To ensure that expectations with regards risk monitoring and reporting are agreed and that they are appropriate considering the size of the organisation and level of risk exposure.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
8	Decide if and how action plans (including service areas) are to be recorded on Pentana Make changes to the layout and field structure of the Pentana Risks module to improve readability for the user. Create space in Pentana for service risk registers (developing consistent naming and coding conventions), delete all irrelevant service risks	To ensure consistency in where and how action plans are recorded and updated across the organisation. By moving the 'Profile' section to the 'Risk Details' tab the user will have quick and easy access to causes, consequences and controls/mitigation information on the risk. Notes from the current assessment should also be held here so that the latest position can be readily obtained. This will represent a more logical layout to the Risks module which will help with user acceptance and with ongoing use of the system. To bring systems and processes into compliance with the Risk Management Strategy and encourage the effective management of service risks.	Strategic Management Board	Autumn 2019		Further consideration is required regarding ongoing use of Pentana as a management tool. Programmes, Projects & Performance has made some configurative changes which have helped improve navigation within the Risk module. Some further work will likely be required once a decision is made on action planning.

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	and input the risk information gathered from the risk identification workshops. (see also 16 and 17 below)					
9	Service delivery planning to be concluded	Ideally, risk management should not be a separate initiative but should be incorporated into the business planning processes. Linking service plans to risks and action plans would provide structure to, and coordination between, these processes.	Strategic Management Board	1st draft of Service Risk Registers required by end of April 2019. Now being reviewed and revised through workshops to end July 2019 (see 14)		No decision has been made as to whether or not the plans will be held on Pentana but agreement was reached that service planning should include compilation of a risk register. This risk register would then act as the service risk register.
10	Decide at which level in the organisation the service risk registers will be held.	To ensure an appropriate structure for the management of risk that aligns with the organisational structure.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
11	Update, approve and roll out the Risk Management Strategy and Risk Management Guidance.	By this point, all of the decisions regarding the risk management framework necessary to finalise the Risk Management Guidance and to update the Risk Management Strategy will have been made. It is vital that both documents are consistent and that staff are aware of the framework (including the changes) so that they know how to manage risk in line with expectations.	Strategic Management Board	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019. Guidance sent out to all staff involved in compiling risk registers
12	Procure an online training pack on the fundamentals of risk management and roll this out to all staff.	All members of staff have at least some role in the management of risk. By providing training on risk management basics, important competencies and a shared understanding will begin to be developed. It also sends a positive top-down message about the importance of risk management to the organisation.	Strategic Management Board	Autumn 2019		The Council now has access to the NYCC eLearning system. Leadership Team will investigate if there is a suitable training pack that addresses the basics of risk management and then make this available to all staff.
13	Present the revised Risk Management Strategy to the Audit, Overview & Scrutiny Committee	Members are tasked with overseeing the effective management of risk by officers. In order to do this they need the opportunity to agree the strategy and thus the framework and process.	S151 Officer	February 2019		Agreed by SMB and endorsed by Scrutiny in February 2019.
14	Hold risk identification workshops with service areas.	To bring officers from the service areas together and use their shared knowledge and experience to develop a service risk register.	Veritau	By 30 June 2019		It was agreed that separate sessions would be held for relevant staff under each Service Lead. These are now taking place
15	Review the content of the new service risk registers and obtain approval from Service Leads.	To ensure that the Service Leads, as owners of the risk registers, are satisfied with the content and quality of the risk registers. The review will also enable the Service Leads to determine whether or not the risk registers are appropriately aligned with the service structure.	Veritau/Leadership Team	May-July 2019		This action will be completed after the service risk identification workshops have been held.
16	Develop a step-by-step Pentana user guide to the creation and updating of risks and associated action plans.	To ensure efficient, effective and consistent use of the system in documenting the action taken to monitor and manage risk.	Programmes, Projects & Performance/Veritau	As per above – Autumn 2019		Programmes, Projects & Performance has already begun work on this. It will, however, need to change to reflect any further changes in configuration and to include a section on action plan creation and updating. Veritau will liaise with the team to ensure that this is drawn up ahead of the Pentana user orientation training sessions.
17	Hold Pentana user orientation training sessions with Leadership Team and Principal Specialists/equivalents.	To ensure efficient, effective and consistent use of the system in documenting the action taken to monitor and manage risk.	Veritau	As per above – Autumn 2019		Veritau to liaise with Leadership Team in order to arrange a date for this session.
18	Develop a programme of risk management awareness training to be delivered throughout the 2019/20 financial year.	To embed a risk-aware culture and give staff the confidence, knowledge and skills they need in order to fulfil their responsibilities.	S151 Officer	IOSH training June 2019		Veritau to liaise with Officer Risk Champion to provide any support and advice required.

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19	Hold risk management awareness training with the Audit, Overview & Scrutiny Committee	Members are tasked with overseeing the effective management of risk by officers. In order to do this they need to have a good grasp of the fundamentals of risk management and to fully understand their role and that of others.	Veritau	31 December 2018 30 September 2019		Initial session held 19 December 2018 This session will now be held after the elections.

Key	
	Not yet started/Under review
	Completed
	Ongoing and on track for completion within agreed timescale
	Unlikely to be completed within agreed timescale