## Appendix 4

### Risk Management Roles & Responsibilities

<table>
<thead>
<tr>
<th>Leadership</th>
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<tbody>
<tr>
<td><strong>Cabinet</strong></td>
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<tr>
<td>Oversee and agree risk management activity across the Authority by:</td>
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<tr>
<td>• Approving the Council’s Risk Management Policy and Strategy;</td>
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<tr>
<td>• Ensuring that a Corporate Risk Register is established, including details of the actions taken to mitigate the risks identified;</td>
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<tr>
<td>• Receiving reports on risk management activity and consider risks associated with decisions arising from reports submitted to them.</td>
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| **Corporate Management Team (CMT)** |
| Leading and ensuring effective management, monitoring and review of risk management across the Council by: |
| • Establishing a control environment and culture in which risk can be effectively assessed and managed; |
| • Directing the level of risk the Authority is prepared to accept; |
| • Consider, agree and review the Council’s corporate strategic risks and their importance against strategic objectives. Action further controls as required; |
| • Review annually the Council’s Risk Management Policy and Strategy. |

| **Departmental Management Teams (DMT)** |
| Ensuring that risk management actions, within their department, are implemented in line with the Council’s Risk Management Strategy by: |
| • Appointing a champion / representative for the department and authorising him/her to progress effective risk management that adheres to corporate guidelines, across their services; |
• Taking full ownership of risks within their department and agree risk mitigation actions, with defined timescales and responsibilities – including those departmental risks that are also in the Corporate Risk Register;
• Receive reports on risk management activity and review key risks regularly;
• Regular departmental horizon scanning of emerging risks, ensuring communication of these through appropriate channels;
• Ensure that risk management considerations are included in all Cabinet, Scrutiny and Regulatory bodies reports in respect of strategic policy decisions;
• Provide assurance on the effectiveness of risk management within their department as part of the Annual Governance Statement process.

Corporate:  

Corporate Governance Committee

Provides assurance for the Authority that risk management is undertaken and effective by:

• Reviewing, scrutinising and challenging the performance of the Council’s risk management framework; including progress against planned actions;
• Receiving regular progress reports on the Corporate Risk Register and other risk management related initiatives;
• Receiving reports from Internal and External Audit to determine the extent to which they indicate weaknesses in control, risk management and governance arrangements.

Corporate Risk Management Group (via Departmental Risk Champion)

Provides assurance that the risk management framework and its processes are working as intended and are effective by:
Acting as the main contact for their department and its management on risk matters;
- Representing their department at the Corporate Risk Management Group;
- Assisting in the implementation of the revised risk management framework and promoting use of the Risk Management Toolkit;
- Providing support on risk management to Directors, Heads of Service and other managers within their service/department;
- Maintaining on behalf of the service directors and heads, a departmental risk register that complies with corporate guidelines;
- Providing regular risk updates to DMT's as per the agreed reporting criteria;
- Ensuring that corporate information and requirements are communicated;
- Identifying their service/department’s risk management training needs and reporting to the Risk Review Team;
- Assessing the relevance of corporate, other departmental, service, project and partnership risks and their impact on their department;
- Reviewing cross cutting risk areas where risks of one department impacts on the risks of another;
- Provide updates to the Risk Review Team to enable reporting to the CMT and Members.
- Establish links with external groups and organisations in order to gain knowledge and share best practice on risk management issues.

Departmental:

Operational / Service Managers

Providing assurance to DMT’s that risks within their service are being managed effectively by:

- Ensuring that risk management within their area of responsibility is implemented in line with the Council’s Risk Management Strategy;
• Communicating the results of their service risk assessment to the DMT via their Risk Champion, demonstrating effectiveness of controls in place to mitigate/reduce service risks;
• Reviewing risks from their areas of responsibility that have been included within the departmental risk register and prioritising and initiating action on them;
• Identify new and emerging risks or problems with managing known risks and escalating to a higher level where appropriate;
• Ensuring that they and their staff are aware of corporate requirements, seeking clarification from their Risk Champions when required;
• Identifying risk training needs of staff and informing this to Risk Champions;
• Using the Risk Management Toolkit and guidance.

Project / Programme / Partnership Boards

Providing assurance that project and partnership risks and their impact are managed and communicated effectively by:

• Ensuring risk management is a regular item on Partnership / Project Board agendas;
• Reviewing and monitoring risks identified on project/partnerships risk registers, ensuring that suitable controls are in place and working, or that plans are being drawn up to bring in further controls;
• Identifying new and emerging risks or problems with managing known risks, ensuring communication of these through appropriate channels, to inform affected service/department.

Quality Assurance:

Internal Audit:

Review and challenge the effectiveness of the risk management framework, providing independent assurance about the quality of controls that managers have in place, by:
Creating a risk-based audit plan that is aligned to the Corporate Risk Register;
Testing and validating existing controls, with recommendations for improvement on identified control weaknesses;
Reporting outcomes to Chief Officers and Corporate Governance Committee;
Monitoring changing risk profiles based on audit work undertaken, to adapt future audit work to reflect these changes.

Risk Review Team (Strategic Finance: Finance Manager and Technical Accountant Risk Management)

Provide assurance that the flow of risk information throughout the Authority is working and effective to produce and maintain the Corporate Risk Register by:

- Leading in the implementation of the revised risk management framework and promoting use of the Risk Management Toolkit;
- Meeting with departments as per the risk management timetable to review risk registers and emerging risks;
- Collating the changes to departmental risks and ensure that the Corporate Risk Register is amended to reflect current position;
- Regular horizon scanning of information from relevant publications and minutes from key meetings to provide a basis for including additional risks on the Corporate Risk Register;
- Reporting progress on the Corporate Risk Register and other risk management related initiatives to the CMT, Corporate Governance Committee and Cabinet as per the risk management timetable;
- Supporting departmental risk champions/representatives in their risk management role;
- Appropriate communication of corporate risk management information and requirements;
- Reviewing the Risk Management Policy and Strategy at least annually to reflect best practice and initiate improvements;
- Establishing links with external groups and organisations in order to gain knowledge and share best practice on risk management issues.
Director of Corporate Resources via Technical Accounting

Review and provide assurance within the Annual Governance Statement that the Authority’s Risk Management Policy, Strategy, Guidance and Toolkit are being implemented at all levels by:

- Leading on the implementation of an integrated framework, strategy and process on behalf of the Authority;
- Coordinating risk management activity across the Council with the support of departmental risk champions/representatives;
- Providing officers with guidance, advice and support on risk management and support departmental risk champions/representatives in delivering their role;
- Agreeing mechanisms for identifying, assessing and managing risks in key partnerships;
- Considering risks included in the Change Management Project Register;
- Identifying best risk management practice through contact with other risk management professionals and membership of external bodies, such as ALARM. To share experiences and good practice on risk across the Council;
- Identifying new and emerging risks through horizon scanning and relevant publications
- Supporting the development and delivery of relevant risk training:
- Undertaking an annual review and update of the Council’s Risk Management Strategy.

All staff and Members

- Taking responsibility for gaining an understanding of the risks facing their area of accountability;
- Report promptly perceived failures in existing control measures that could increase risk.
- Take due care to understand and comply with the risk management processes and guidelines of the Council.