Corporate Risk Management Strategy & Process

Version	Date	Status (draft, approved, signed off	Author	Change Description
V1.0	16/04/18	draft	C Clarke	Updated in line with Alarm model
V2.0	18/04/18	Revised draft	C Clarke	Changes to text & graphics
V3.0	24/04/18	Revised draft	C Clarke	Change to risk matrix
V4.0	25/04/18	Final Draft	C Clarke	Additional inclusions in Appendices
V5.0	18/05/18	Final	C Clarke	Variation to matrix

Approved for submission to Sponsor, given by		Date	
Sponsor sign off to proceed with project identification, given by		Date	

Distribution List

Name	Organisation	Job title / Dept.

Contents

1. Ashfield District Council Risk Management Strategy - Introduction

1.1 Philosophy and aims

Our philosophy:
Ashfield District Council will seek to embed risk management into its culture, processes and structure to ensure that opportunities are maximised. Ashfield District Council will ensure that the resources and support is available to assist managers to identify, understand and manage risks, and learn how to accept the right risks. Adoption and application of this strategy will deliver success in delivering services to the customers of Ashfield District Council.

1.2 Purpose

The purpose of this risk strategy document is to set out in clear simple terms how risk management will be managed within Ashfield District Council and become embedded in the culture.

It therefore aims to:

- Develop risk management and raise its profile across the Council, and ensure that risk management becomes a living tool.
- Make risk management part of normal business and therefore incorporated within all decision making processes.
- Integrate risk management into the culture of the Council.
- Ensure that all risks are managed in accordance with best practice.
- Create effective processes that will allow risk management assurance statements to be made annually.

1.3 What is risk management?

Risk definition: Risk is uncertainty of outcome. The delivery of an organisation's objectives is surrounded by uncertainty which both poses threats to success and offers opportunity for increasing success. Risk is defined as this uncertainty of outcome, whether positive opportunity or negative threat, of actions and events

Risk Management can be defined as:

> **"**Risk management is the process of identifying risks, evaluating their probability and potential consequences and determining the most cost effective methods of controlling and /or responding to them. It is not an end in itself. Rather, risk management is a means of maximising opportunities and minimising the costs and disruption to an organisation caused by undesired events" 'Risk Management – A Key to Success,' published by ALARM

Risk management therefore is essentially about identifying all the obstacles and weaknesses that exist within the Council. A holistic approach is vital to ensuring that all elements of the organisation are challenged including our decision making processes, work with partners, consultation processes, existing policies and procedures as well as the effective use of all assets – including our staff. Once the obstacles have been identified the next stage is to prioritise them to identify the key obstacles facing the Council and to help the organisation to effectively deliver services to our customers. Once risks have been identified and prioritised it is essential that steps are taken to then effectively manage those key obstacles / risks. This will ensure that major obstacles or blockages that exist within the organisation can be mitigated to provide the council with a greater chance of being able to maximise the delivery of its objectives and provision of services to our customers.

Risk management will be used as a strategic tool and an essential part of effective and efficient management and planning within the organisation.

1.4 Risk Management policy statement

Risk is the chance of something happening that will have an impact on what we set out to achieve.

Risk management is the process for dealing with this effectively – identifying, evaluating, prioritising and mitigating the risks. It is not an end in itself. Effectively managing our risks means that we can maximise opportunities and minimise the costs and disruption to the Council caused by undesired events.

Risk appetite is the “amount and type of risk that an organization is prepared to pursue, retain or take". This is reviewed annually alongside this framework.

As an organisation we have identified our strategic risks and have a process in place to control and monitor them. We regularly review them (at least annually) to ensure that the corporate risk register remains up-to-date. We also have a system in place to identify project and operational risks at an early stage and again to control and monitor them effectively.

The aim is to manage risk rather than to eliminate it. Too little attention to the control of risk will lead to unnecessary losses and poor performance. An overzealous approach to risk control can stifle creativity and service delivery and may mean that opportunities for improvement are missed. Successful risk management means getting the balance right, thereby making the best use of available resources. We identify actions to reduce negative risks to an agreed acceptable level and this is monitored via the risk register.

The management of risk should not be viewed in isolation; it forms an integral part of the Council’s business. The risk management process forms part of the service planning framework. In addition risk management techniques can be used when considering new service delivery methods or policy options. Much risk management already takes place intuitively.

There is clear ownership of risks at all levels within the authority and we expect partner organisations and contractors to have suitable risk management arrangements.

1.5 Why do we need a risk management strategy?

Risk management will, by aligning to the business planning and performance management processes, strengthen the ability of the Council to achieve our objectives and enhance the value of the services we provide.

Also, Risk Management will, by aligning to the Business Continuity processes, strengthen the ability of the Council to react to all situations and protect its own interests and those of the district, ensuring essential service delivery.

However it is also something we are required to do, for example:

- The CIPFA/SOLACE framework on Corporate Governance requires the Council to make a public assurance statement annually, on amongst other areas, the Council’s risk management strategy, process and framework. The framework requires us to establish and maintain a systematic strategy, framework and processes for managing risk.
- Risk management was a key discipline identified in the Organisational Assessment, particularly looking at whether an authority has assessed the risks inherent in its corporate and service plans. This requirement has now been removed, however, is recognised as good practice.
- Risk management is now considered standard practice in both the public and private sectors.
- To meet our statutory obligations such as Civil Contingencies Act, providing emergency response and planning and providing for emergency assistance.

1.6 Benefits of risk management

Successful implementation of risk management will produce many benefits for the Council if it becomes a living tool. These include:

- Increased chance of achieving strategic objectives as key risks are identified and minimised.
- Achieves buy-in to risk (and action) for officers and members.
- An organisation can become less risk averse (because you understand risks).
- Improved performance, accountability and prioritisation - feeds into and aligns with the performance management framework.
- Better governance can be demonstrated to stakeholders.
- Control and mitigation of business continuity risk

1.7 Link to Corporate Objectives

Adequate risk management arrangements link to the authority's Organisational Improvement priority. However, the minimisation of risks also enables all of the council's priorities to be achieved. The identification of risk relating to the achievement of performance and improvement is a key aspect of the performance management framework

1.8 Risk appetite

The ISO 31000 risk management standard refers to risk appetite as the:

"Amount and type of risk that an organization is prepared to pursue, retain or take".

This is reviewed annually by CLT alongside the review of this framework and the corporate risk register.

The appropriate level will depend on circumstances and must be appropriate given our corporate objectives. For example, where public safety is involved our appetite will tend to be low, while for an innovative project that is a key part of our transformation programme, it may be higher, recognising that there will be uncertainty and the potential for things to go wrong but the potential rewards will be higher too.

1.8.1 Risk appetite categories

Averse: Avoidance of risk and uncertainty; minimal exposure to risk preferred; consequently likely to be low potential for reward / achieving a stretching objective; corresponding risk score = **low**

Cautious: Preference for safe options with a low to medium degree of risk only; again this is likely to consequently reduce the potential for reward / achieving a stretching objective; tight controls in place; corresponding risk score = **low to medium**

Open: Willing to consider all potential options and choose the one most likely to achieve the objective, while also providing an acceptable level of reward and value for money; balanced approach recognising that things may go wrong but we will learn from them; corresponding risk score = **medium**

Hungry: Eager to be innovative and to choose options offering potentially higher rewards, despite greater inherent risk; willing to tolerate uncertainty and accept possibility of significant loss; corresponding risk score = **high**

Risk Tolerance: This can be interpreted as an organization's or stakeholder's readiness to bear the risk after risk treatment in order to achieve its objectives**.**

2. Implementing a risk management process

This section covers the implementation of the risk management process within the Council. In order to implement risk management within the Council managers and staff need to become familiar with, and have guidance on, the:

- risk management process,
- roles and responsibilities of officers and members,
- reporting and monitoring.

2.1 The Risk Management Cycle

Implementing the strategy involves adopting a systematic and robust process. The following risk management cycle describes the processes that should be followed.

Step 1 Identifying risks facing the Council.

The identification of risks is derived from both a 'top down' (corporate planning) and a 'bottom up' (operational/business continuity level) process of risk assessment resulting in coverage of the whole Council.

Step 2 Analysing the risks

The risks are analysed and reported in a corporate standard format. (See Appendix 3)

Step 3 Prioritising the risks

The process then prioritises the risks resulting in a focus on the key risks and priorities i.e. those risks most likely to happen and with the greatest impact

Step 4 Managing of the risks through action plans

The risks are then managed through the development of appropriate risk management action plans. The Corporate standard template incorporates risk identification and action planning. This is managed through the performance management software ‘’Pentana’’.

Step 5 Monitoring of the action plans and the risks

Risks are managed through the performance management framework at least once every six months, whilst monitoring the delivery of the service and corporate action plans. The information is held in the performance management software ‘’Pentana’’.

The cycle is continuous and should be followed on a regular basis.

The risk management process is described in detail in Appendix 1.

2.2 Roles and Responsibilities

The successful management of risk is a collective responsibility for all Members and employees. The council has a duty to the community to manage its resources economically, efficiently and effectively.

It is the responsibility of **all Elected Members** to be aware of the risk management implications of their actions, decisions and public statements. All decision making reports include a section identifying any key risks. Elected Members can ask for these and any other risks which they have identified to be fed into the Council’s risk process e.g. an operational risk may be passed to the service manager to lead on, a strategic risk may be passed to Audit & Governance Committee and/or Cabinet to debate.

It is the responsibility of **Cabinet Members**:

- To agree an effective strategy and framework to manage risks within the Council
- To set the Council’s risk appetite in conjunction with senior managers and the Audit & Governance Committee
- To receive exception reports on risk management (focused at the strategic level) as part of the established quarterly monitoring and to recommend action where necessary
- To agree the Council’s response to its highest risks i.e. doing what is practicable to reduce the risk, whilst not using a disproportionate amount of resource
- To formally consider risk management implications when making decisions
- To hold the Audit & Governance Committee and CMT accountable for the effective management of risk
- Monitoring the Council’s risk management and internal control arrangements via annual reports to Cabinet, and regular Priority Theme Board Programme Highlight reports

- Approving the public disclosure of the annual outcome of this assessment (the assurance statement), and publishing it in the annual Statement of Accounts.

The **Leader of the Council** is the Cabinet lead on risk management issues. It is their responsibility to promote awareness of potential risk implications at Cabinet level. For example, to pay particular attention to the risk elements in decision making reports; to be available to colleagues to discuss risks; to be satisfied that the risk arrangements are in place and working well; to present the quarterly risk information to Scrutiny & Cabinet.

It is the responsibility of the **Audit & Governance Committee**:

- To have an overview of risk management in the Council
- To carry out an annual review of the risk management framework, including the risk appetite, and to recommend it to Cabinet for approval
- To carry out an annual review of the strategic risk register and to recommend it to Cabinet for approval

Corporate Leadership Team (CLT)

The Corporate Leadership Team is pivotal in leading the promotion and embedding of risk management within the Council. In addition they have an important role in identifying and managing risks.

Corporate Leadership Team's key tasks are:

- Recommending to Cabinet the Corporate Risk Management Strategy and its subsequent revision.
- actively being involved in the assessment and management of risks on a biannual basis, at Corporate strategic level
- being actively involved in the identification, assessment and management of risks within their directorates as part of the service planning process.
- supporting and promoting risk management throughout the Council,
- support the Risk Management Sponsor

Risk Management Sponsor – Strategic Planning Risk

The Risk Management Sponsor (Strategic Planning Risk) will lead the championing and embedding of strategic risk management and drive its implementation within the Council. This role is part of the duties of the Service Manager – Corporate Services and Transformation.

Responsibilities will include:

- compile, and report biannually (from Pentana), to CLT all corporate risks, including the risks escalated up from the Directorate level, and lead their identification, assessment and management of strategic risks on a biannual basis
- produce an annual report to Cabinet on the progress of strategic risk management, the risks, and action in managing them,
- support and advise the CLT on strategic risk management issues
- communicate the benefits of effective strategic risk management to all members of Ashfield District Council

- ensure the alignment of risk within strategic planning and performance and improvement processes

Service Managers

- To have an overview of risk management in the Council at officer level
- To contribute to the annual review of the risk management framework, including risk appetite
- To ensure that the Council's risk management framework is applied in their service areas by identifying, assessing, reporting and monitoring risks and setting risk appetites
- To contribute to the management of strategic risks in support of CLT

It is the responsibility of **Project leads**:

- To ensure that the Council's risk management framework is applied to their project by identifying, assessing, reporting and monitoring risks and setting the risk appetite
- To exception report via reporting at intervals agreed with the Project Sponsor.

All Employees

- To be aware of the Council's risk management framework
- To have an understanding of the risks that arise within their area of work
- To participate in risk management training as appropriate
- To challenge practices, identify new ways of doings things and be innovative
- To learn lessons from risk management rather than apportion blame and to concentrate at least as much on how risks have been managed in any given situation rather than just the outcome if something goes wrong

2.3 Reporting and monitoring

The responsibility for monitoring and reviewing the corporate risk is the responsibility of the Corporate Leadership Team who is required to do this biannually.

Service Risk Registers in Pentana should be reviewed as a minimum quarterly by the respective Service Manager.

Service Directors are responsible for escalating risks, those above the risk tolerance line to the Corporate Leadership Team who will determine if they should be included on the Corporate Risk Register. This should be done through the Risk Management Sponsor – Strategic Planning.

The Risk Management Sponsor – Strategic Planning will report progress on the risk management process, and key risks, annually to Cabinet. They will also be responsible for reviewing the Corporate Risk Management Strategy and most effective risk management processes on an annual basis.

The action plans developed to manage the Strategic risks will be aligned to the Performance Management Framework and will be monitored through the Performance Management System Pentana. This will ensure the integration of risk management with other processes and ultimately ensure its profile and success is maintained.

The framework for reporting risk is summarised below:

Risk assessments will be included in all policies and reports, as well as in our partnership working arrangements, so that risk is considered in everything the Council
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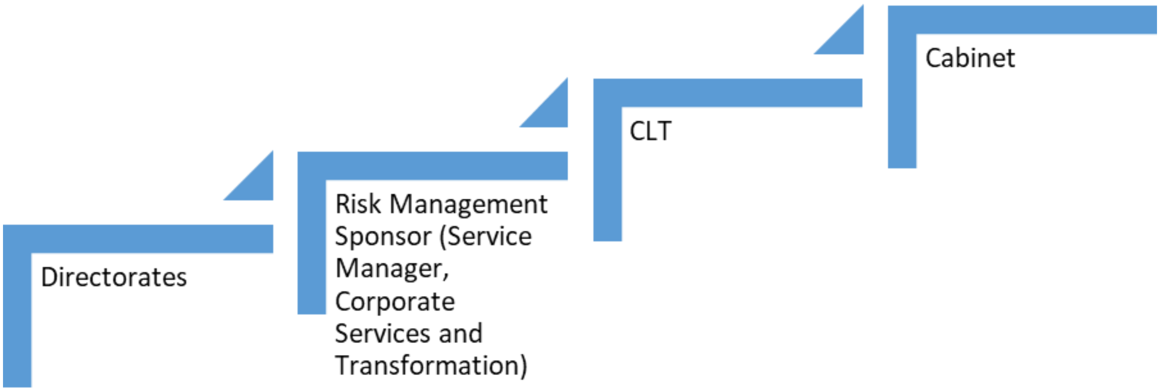


Conclusion

The adoption of a sound risk management strategy will achieve many benefits for Ashfield District Council. It will help with business planning, the achievement of objectives, the demonstration of continuous improvement, the delivery of projects and demonstrate effective corporate governance.

The challenge however is to implement this comprehensive risk management process without significantly increasing workloads. This should be achieved by the integration of risk management into existing processes and reviews rather than as a separate process

Appendix 1 – The risk management process

Risk identification

- Document the objectives as a starting point
- What are we trying to achieve? e.g. Corporate plan, service plan, project objectives
- Identify risk/s - prompts available
- What might stop us from achieving our objectives?

Risk analysis

- How likely is the risk to occur?
- What would be the impact if the risk did occur?

Prioritisation

- Agree timescales to be used e.g. 12 to 18 months time period or 3 to 4 year period
- Annual planning
- Setting of priorities at Programme board and by project sponsor/project manager levels for programmes & projects

Risk management

- Set the risk appetite
- What level of risk is acceptable?
- Identify actions to help control the risk

Monitoring & reporting

- Quarterley monitoring and reporting (Corporate and service levels) for projects the intervals will be as agreed in the PID
- Ensure that the risk register is updated and reported on

Response

- Response(s) to a given risk should reflect the risk type

	Almost definite P6	12	16	20	24
	Almost certain P5	10	14	16	20
	Probable P4	6	12	12	16
	Possible P3	3	8	8	12
	Hardly ever P2	2	4	4	8
	Never P1	1	2	3	4
		I Negligible	2 Minor	3 Major	4 Critical
		IMPACT			

Averse Grey – Low risk/low opportunity
Cautious Green – Low to medium risk/low to medium opportunity
Open Blue – Medium risk/medium opportunity
Hungry Red – High risk/high opportunity

Stage 1 - risk Identification

Corporate Risk will be managed and monitored by CLT in partnership with the Service Manager – Corporate Services and Transformation. However it will be for each Directorate to decide upon the appropriate approach to identifying its key risks as this process is cascaded down throughout Ashfield District Council.

The categories of risk to prompt identification and to help to identify the cause / source of risks are:

Contractual/Supplier	Governance	Physical
Customer/Citizen	Legal	Political
Economic	Legislative/Regulatory	Procurement/Competitive
Environmental	Managerial/Professional	Social/People
Financial	Partnership	Technological

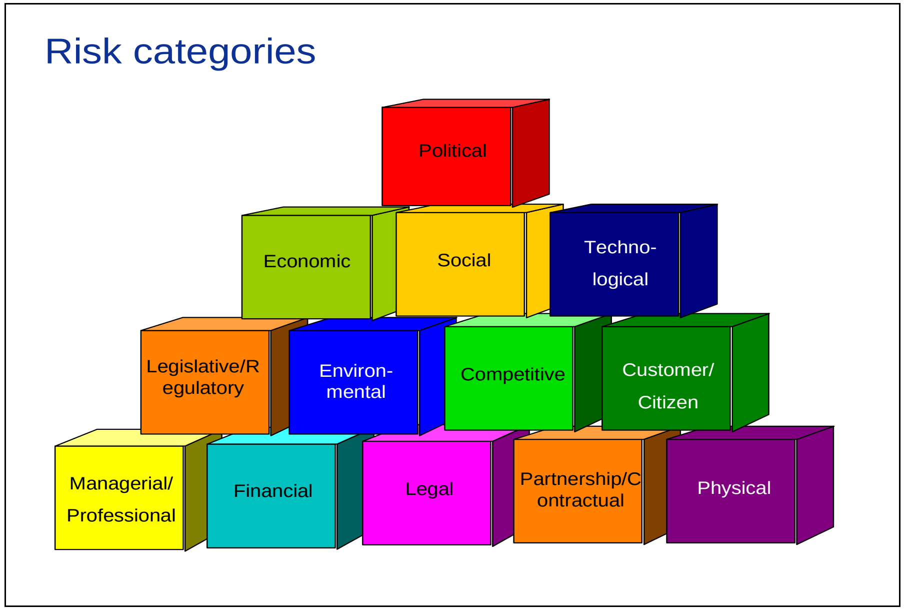
Other prompts for identifying risks include:

Actions in service plans	Changes in processes
Decision-making reports	Finance
Health and safety risks	Partnership working
Policy changes	Project management process e.g. new business case

The risk identification stage should also include a review of published information such as corporate/service plans, strategies, financial accounts, media mentions, inspectorate and audit reports etc.

Service Level Strategic Planning and Performance Management –
Each Service will review any relevant risks in the achievement of performance and improvement activity, and therefore achievement of Corporate Priorities. This will be undertaken quarterly as well as refreshed annually as part of the service planning

process. The Corporate Timeline Managers Checklist includes prompts for service managers to review risk on a regular basis (Appendix 2)



Risk	**Definition**	**Examples**
Political	Associated with the failure to deliver either local or central government policy or meet the local administration's manifest commitment	New political arrangements, Political personalities, Political make-up
Economic	Affecting the ability of the council to meet its financial commitments. These include internal budgetary pressures, the failure to purchase adequate insurance cover, external macro level economic changes or consequences proposed investment decisions	Cost of living, changes in interest rates, inflation, poverty indicators
Social	Relating to the effects of changes in demographic, residential or socio-economic trends on the council's ability to meet its objectives	Employee levels from available workforce, ageing population, health statistics

Technological	Associated with the capacity of the Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. They may also include the consequences of internal technological failures on the council's ability to deliver its objectives	E-Gov. agenda, IT infrastructure, Employee/client needs, security standards
Legislative	Associated with current or potential changes in national or European law	Human rights, appliance or non-appliance of TUPE regulations
Environmental	Relating to the environmental consequences of progressing the council's strategic objectives	Land use, recycling, pollution
Professional/ Managerial	Associated with the particular nature of each profession, internal protocols and managerial abilities	Employee restructure, key personalities, internal capacity
Financial	Associated with financial planning and control	Budget overspends, level of council tax, level of reserves
Legal	Related to possible breaches of legislation	Client brings legal challenge
Physical	Related to fire, security, accident prevention and health and safety	Offices in poor state of repair, use of equipment
Partnership/ Contractual	Associated with failure of contractors and partnership arrangements to deliver services or products to the agreed cost and specification	Contractor fails to deliver, partnership agencies do not have common goals
Competitive	Affecting the competitiveness of the service (in terms of cost or quality) and/or its ability to deliver best value	Fail to win quality accreditation, position in league tables
Customer/ Citizen	Associated with failure to meet the current and changing needs and expectations of customers and citizens	Managing expectations, extent of consultation

Stage 2 – Risk analysis

The information gathered from the risk identification processes above should be analysed and risk scenarios developed for the key concerns using the Risk Register and Action Plan (see Appendix 3). The Risk Register and Action Plan (Corporate and Service) should include a clear description of the risk, priority rating of the risk and proposed action. Generally, where interviewees have perceived a risk, which has been corroborated by others, the risk should appear in the scenarios – particularly if it is backed up by available evidence.

Evaluate likelihood and impact

Likelihood/Probability					
1 Never	**2 Hardly Ever**	**3 Possible**	**4 Probable**	**5 Almost certain**	**6 Almost definite**
Never happened	**No more than once in last 10 years**	**Happened a few times in last 10 years**	**Happened in last 3 years**	**Happened last year**	**More than once in last year**
Will almost never to happen	**Extremely unlikely again in year**	**Could happen in year**	**Possibility it might happen in year**	**Likely to happen in year**	**Expected to happen in year**

Impact/Consequences				
	Service delivery	**Finance**	**Reputation**	**People**
4 Critical	**Interruption to core service Failure of key project**	**Severe costs incurred; Financial loss of >10% of the tolerance set Impact on whole Council; Statutory intervention**	**Significant media interest seriously affecting public opinion**	**Loss of life; Major causalities**

	Service delivery	Finance	Reputation	People
3 Major	Key targets missed Some services compromised	Significant costs incurred Financial loss of >5% of the tolerance set Resetting of budgets required Service budgets exceeded	Local media interest and significant social media commentary; Comment from Inspectors; Impact on public opinion	Serious injuries; Traumatic experience; Exposure to dangerous conditions
2 Minor	Management action required to address short term difficulties	Some costs incurred Financial loss of <5% of the tolerance set Minor impact on budgets; (managed by Service Manager)	Limited local publicity; Mainly within local government community; Causes staff concern	Minor injuries or discomfort; Feelings of unease
1 Negligible	Managed within normal daily routines	Little loss anticipated Financial loss within the tolerance set	Little or no publicity; Little staff comment	

Stage3 - Prioritisation

Following identification and analysis the risk scenarios need to be evaluated.

This should look at the risk scenarios and decide on their ranking according to the probability of the risk occurring and its impact if it did occur. The matrix (shown over) should be used to plot the risks and once completed this risk profile clearly illustrates the priority of each scenario.

It is essential at this stage that there is agreement around the timescales being used. The profiling group will agree if the risks are to be profiled over a 12-18 month timescale or a 3-4 year timescale. It will often depend on what the information will be used for – annual planning or 3-year planning. Impact should be assessed against the achievement of the Corporate, or service objectives as applicable.

Although the risk profile will produce a priority for addressing each risk determining the group's appetite for risk can enhance this. All risks above the appetite cannot be tolerated and must be managed down, transferred or avoided. The appetite for risk is determined during the facilitated workshop and is achieved by starting in box P1:I1 and asking the group to decide if they are prepared to live with a risk in that box or if they want to actively manage it. Continuing this process up and across the matrix sets a theoretical tolerance line.

When prioritising risks the P6:I4 box is the first priority or the most important risk to be managed. The priority is led by the impact axis – i.e. P5:I4 followed by P6:I3, P4:I4 followed by P5:I3 followed by P5:I2 and so on.

The risk matrix is given below:

PROBABILITY					
	Almost definite P6				
	Almost certain P5				
	Probable P4				
	Possible P3				
	Hardly ever P2				
	Never P1				
		I1 Negligible	**I2 Minor**	**I3 Major**	**I4 Critical**
		IMPACT			

Stage 4 - Risk Management

Once the risks have been prioritised the next step is to identify actions to help control the risk. Most risks are capable of being managed – either by managing down the likelihood or impact or both. Relatively few risks have to be avoided or transferred. Action plans will also identify the resources required to deliver the improvements, key dates and deadlines and critical success factors/CLs/KLs.

These plans should not be seen as a separate initiative and are incorporated into the existing business planning process. Therefore the results of the risk management work will be fed into the corporate planning, service planning and budgeting process. Ownership of each action plan needs to be allocated to appropriate members of staff with appropriate seniority and ability to drive the progress of the action plans. It will therefore be their responsibility to develop the actions required to mitigate the risks and complete the plans. The corporate Risk Register and Action plan template is shown in Appendix 3.

Stage 5 - Monitoring and reporting

Monitoring the progress of action plans will be done as part of the Council's Performance Management process. This ensures the integration of risk management with other processes and ultimately ensure its profile and success is maintained. This is achieved through the recording and monitoring of risks within the corporate performance system called Covalent. The system sends email reminders to risk owners on a regular basis to review and re-assess the risk, adding comments regarding mitigating actions.

The strategic risk register is reviewed annually and updated and reported quarterly in the quarterly report to CLT, Scrutiny, Cabinet and Audit Committee.

The operational risk register holds service specific, project and partnership risks and is also updated quarterly with exception reporting in the quarterly report at the discretion of Heads of Service e.g. if the risk has increased sufficiently to cause concern corporately or if additional mitigating action is required.

Stage 6 – Response

The response(s) to a given risk should reflect the risk type, the risk assessment (likelihood, impact, and criticality) and the organisation's attitude to risk. There are a number of possible responses to risks and as risks can be threats or opportunities these include responses that are suitable for potential opportunities

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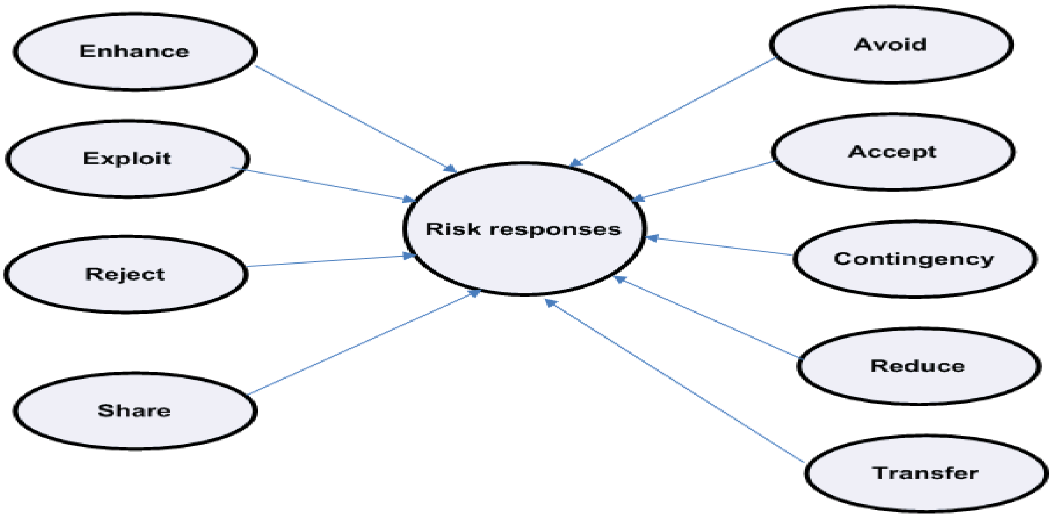

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Risk response	Description
Threats	
Avoid	The risk is avoided e.g. change in strategy
Transfer	Some or all of the risk is transferred to a 3rd party
Reduce	Action is taken to reduce either the likelihood of the risk occurring or the impact that it will have
Accept	The risk may be accepted perhaps because there is a low impact or likelihood
Contingency	A plan is put in place to respond if the risk is realised
Opportunities	
Share	An opportunity is shared with a partner or supplier to maximise the benefits e.g. through use of shared resource/technology
Exploit	A project could be adjusted e.g. to take advantage of a change in technology or a new market
Enhance	Action is taken to increase the likelihood of the opportunity occurring or the positive impact it could have. e.g. Strategic/commercial opportunities such as new partnerships, new capital investment
Reject	No action is taken and the chance to gain from the opportunity is rejected. Contingency plans may be put in place should the opportunity occur.- Political or environmental e.g. new transport links, change of government bringing positive changes in policy/opportunities

Links to other risk-related areas of work

- Fraud awareness and training – Finance team
- Emergency planning and business continuity – Corporate Risk Manager
- Insurance – Finance team
- Health & Safety – Health & Safety officer
- Information management and security – ICT Technical & Security Manager

Appendix 2 – Corporate Timeline Service Managers Checklist

Task	By When	Progress	Completion Date
Financial			
Review of budgets	End November		
Review of fees and charges	End November		
Review of contracts			
Review of year end employee unused benefits	6 April		
Review of year end spend/ income and accruals/ prepayments	6 April		
Monitor service spend	ongoing		
Capital bids	twice year to be agreed by CLT		
Service planning/ performance/ risk			
Review of front line service plans	End February		
Review of support service plans	End March		
Finalise service plan based on year end performance	End April		
Monitor performance and productivity	ongoing		
Quarterly risk register review	Mid-June		
	Mid October		
	Mid-January		
	Mid-April		
People			
PDRs – front line services	End March		
PDRs –support services	End April		
Workforce planning/ service needs analysis/ skills audits	Mid- February		
Business Continuity			
Review risk assessments	End September		
Review business continuity service plans	End December		
Review of critical function plans	End December		
Other health and safety			
Equalities			
Review equalities report	Yearly (by end of January)		

Appendix 3 – The Risk Register & Action Plan –

2018/2019 Risk Register & Action Plan

Last updated by	C Clarke	18/05/2018
Approved by		
Document Owner		

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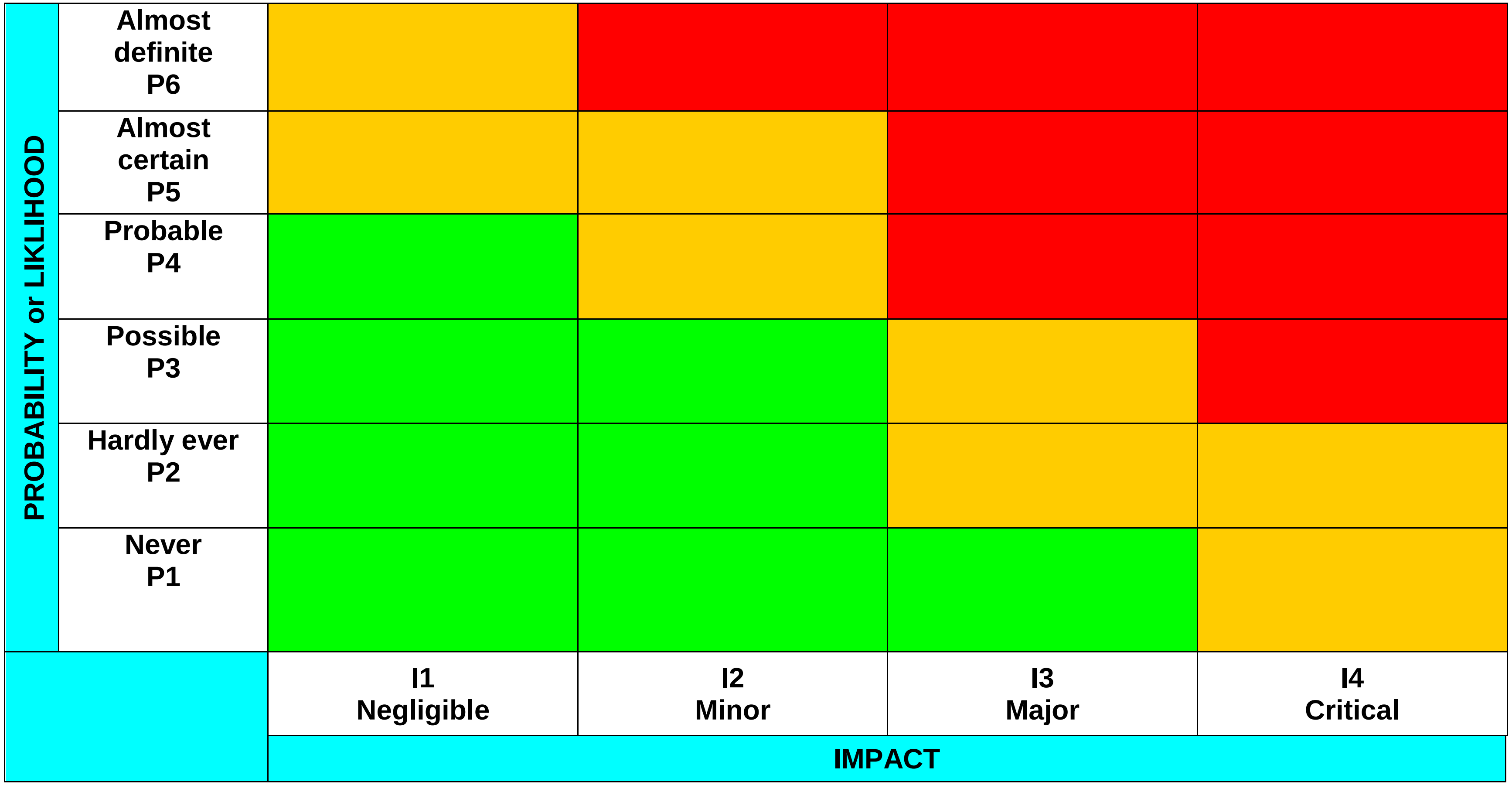
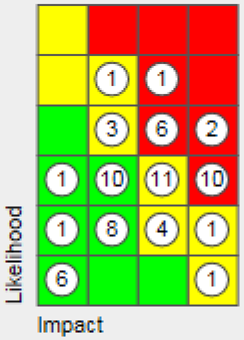
Risk Matrix


PROBABILITY or LIKLIHOOD
Almost definite P6
Almost certain P5
Probable P4
Possible P3
Hardly ever P2
Never P1
I1 Negligible
I2 Minor
I3 Major
I4 Critical
IMPACT

(ADC)RSK/17/18 Risks 17-18

Register | Description

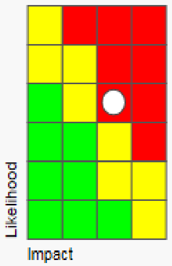


Sub-Risks 19 21 / 66

Risk Matrix **6x4** 6x4 Risk Matrix

(ADC) CR029 [Corporate Risk] Failure to identify savings required by MTFS

Current | Compare | Description



Impact 3 Critical
Likelihood 4 Significant
Score 12

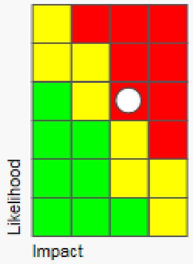
Assessment 3x4 Critical - Significant
Date Reviewed 08 Feb 2018

Next Assessment due 01 Apr 2018

Update

(ADC) **ENV014** CSR budget cuts - lack of money to deliver Service

Current | Compare | Description



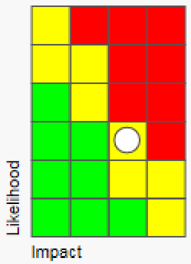
Impact	3 Critical
Likelihood	4 Significant
Score	12 —
Assessment	3x4 Critical - Significant
Date Reviewed	31 Mar 2017

Next Assessment due 01 Jun 2017

Update

(ADC) **FR034** Council Tax & NNDR

Current | Compare | Description



Impact	3 Critical
Likelihood	3 Low
Score	9 —
Assessment	3x3 Critical - Low
Date Reviewed	07 Feb 2018

Next Assessment due 01 May 2018

Update

Risk Review Timetable

	April 18	May 18	June 18	July 18	August 18	Sep18	Oct 18	Nov 18	Dec 18	Jan 19	Feb 19	March 19
Cabinet			X					X				
CLT		X			X			X			X	
DMT		X		X		X		X		X		X
Service areas	X		X		X		X		X		X	
Programme Boards **		X		X		X		X		X		X

**** where there is no Programme Board then the Service Director in their role as Corporate Programme Lead will review the risks with the Project Manager. For Programme Boards a risk report on live projects will be produced by the Corporate Performance and Improvement Team.**

Previous Cabinet report: http://node70.ashfield-dc.gov.uk/documents/s8390/Corporate%20Scorecard%20Quarter%202%20Performance.pdf

Risk Management reporting: https://ashfield.pentanarpm.uk/portals/view/11787/adc-corporate-risk