

Risk Management Roles & Responsibilities – Appendix D

All officers and members have a responsibility to ensure that risk management is effective across the whole of the Authority's operations. Specific roles and responsibilities are set out below:

The Cabinet

- Determine the overall approach and attitude to risk management
- Approval of the risk management strategy
- Provide assurance to members that high risks are being identified and managed
- Review and monitoring of the corporate risk register

Portfolio Holder (Assets & Resources)

- Strategic endorsement of the overall approach and attitude to risk management
- Champion risk management

Governance and Audit Committee

- Recommend approval of the risk management strategy and policy
- Monitor the implementation of the strategy
- Review the Annual Governance Statement, including effectiveness of risk management
- Provide assurance to members that high risks are being identified and managed
- Scrutiny of the system of internal control, including risk management arrangements and assurance statements from service managers and corporate heads
- Receive quarterly reports on risk management including any significant changes to the Authority's risk profile

Chief Executive

- Strategic leadership that endorses the implementation of the risk management strategy across the Council

The s151 Officer (Corporate Head of Finance & Customer Services)

- Champion risk management
- Overall responsibility for maintenance and delivery of risk management across the Authority
- Promulgate and promote the strategy.

Management Board (Strategic Management Team & Operational Management Team)

- Monitor the corporate risk register
- Take ownership, as appropriate, of the identified corporate risks
- Receive regular reports from the Risk Management Group

- Raise awareness of risk with members and staff as appropriate

Strategic Directors/Corporate Heads/Service Managers

- Communicating the Risk Management approach and strategy throughout the Council;
- Developing an open and transparent culture for the identification and management of risk, and encouraging employees to instil risk awareness in their behaviour;
- Identification, assessment and communication of risks within their sphere of responsibility, including updating of the risk register
- Regularly reviewing the risk management process in their area of responsibility – feeds into the assurance statements.
- Provide assurance statements – quarterly summary to Governance & Audit Committee
- Providing support and assistance to all employees in fulfilling their individual risk management duties.

Risk Management Group

- Provide a forum for the discussion of risk management issues
- Review and monitor the operational risk register
- Escalate emerging risks for Management Board attention where appropriate
- Monitoring implementation of risk management action plans

Service Manager Finance & Risk Management, including Risk Management Team

- Operational responsibility for supporting and guiding the risk management process across the Council
- To be a centre of excellence on risk management issues
- Facilitate discussion of risk at local and corporate level, including risk identification and assessment workshops;
- Ensuring, by means of regular communication, that employees are aware of the key risk issues facing the Council;
- Maintenance of the corporate risk register
- Provide managers with practical techniques for identifying and assessing risks and designing control and mitigation strategies
- Provide continuous training and support to Members and Officers

Risk Owner

- Responsibility for ensuring that each risk assigned to them is managed effectively.
- Reporting any significant changes to the Risk Management Team/Group
- Implementation of actions arising from risk assessments

Staff

- All staff have a responsibility to manage risk effectively and report opportunities and threats to their managers.
- Contribute to minimising risk when ever possible

- Attend relevant training

Internal Audit

Internal audit provides an independent and objective assurance to management and members on the effectiveness of risk management. They normally provide assurance on the following areas:

- Risk management processes, both their design and how well they are working;
- Management of those risks classified as 'key', including effectiveness of the controls and other responses to them;
- Reliable and appropriate assessment of risks and reporting of risk and control status.
- Report on the relationship between risk and control

The outputs from the risk management process can also be used internally to help inform the annual internal audit programme.

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The following diagram illustrates the reporting and monitoring arrangements.

