

## Risk Management action plan 2004/05

| Objective  | Action  | When             | Status                        | Who                           |
|--|---|------------------|-------------------------------|-------------------------------|
| <p>Implement an IT based Risk Register to replace existing spreadsheet based risk register.</p> <p><b>Audit report - R3</b></p> <p><i>Implement new risk management software package and ensure that the risk register is available on the intranet to all officers and members.</i></p> | <ul style="list-style-type: none"> <li>Sub-group of risk management group to review the IT risk register systems currently on the market.</li> <li>Once suitable system identified, system to be installed and data transferred from existing excel spreadsheet.</li> <li>Initial system users to be identified and training to be provided.</li> <li>Live risk register to be rolled out to senior managers and training provided.</li> <li>As per actions listed above.</li> <li>Risk register to be made available to all officers and members on the intranet.</li> </ul> | Apr 04           | Completed                     | MN / RMG (sub-group)          |
|  |   | Oct 04           | On track                      | MN / Risk Manager             |
|  |   | Nov 04           | On track                      | Risk Manager                  |
|  |   | Mar 05           | On track                      | Risk Manager & Risk Champions |
|  |   | Mar 05           |                               |                               |
| Recruitment of risk manager.   | <ul style="list-style-type: none"> <li>Produce job description for risk manager.</li> <li>Advertise risk manager position.</li> <li>Recruit to risk manager post.</li> </ul>  | Mar 04           | Completed                     | MN                            |
|  |   | Apr 04           | Is being re-advertised Jul 04 | MN                            |
|  |   | Jul 04           | Now expected to be Oct 04     | MN                            |
| Provide opportunities for shared learning on risk management across the Council.   | <ul style="list-style-type: none"> <li>Risk management champions to provide regular feedback of risk management activities to department DMT's.</li> <li>Updates for risk management toolkit to be prepared as necessary and made available to all staff.</li> <li>Regular visits by the risk manager to departments DMT's, team meetings etc to update and advise on cross cutting risks and risk issues.</li> </ul>   | Ongoing          | Carried out and ongoing       | Risk Champions                |
|  |   | Apr 04 & various | Completed                     | RMG & Risk Manager            |
|  |   | Various          | DMT visits started Jul 04     | Risk Manager                  |

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| Incorporate risk assessment and risk management into Best Value and service reviews and service planning process.   | <ul style="list-style-type: none"> <li>Future BVR's to be picked up, and risk manager, risk champions to provide assistance with regards to risk management and risk assessments.</li> <li>Service planning guidance for 2005/06 to be updated with risk assessment documentation.</li> </ul>   | <p>Various</p> <p>Oct 04</p>                                | <p>On track</p> <p>On track</p>   | <p>Risk Manager &amp; Risk Champions</p> <p>Risk Manager</p>              |
| <p>Maintain systems for identifying and evaluating all significant risks, including regular audits of the management action plans.</p> <p><b>Audit report – R4</b></p> <p><i>Create detailed action plans for the control of each risk on the risk register and establish a system for cost / benefit analysis of control measures.</i></p> | <ul style="list-style-type: none"> <li>Key risks from risk register to be reviewed quarterly by risk management group.</li> <li>Risk assessments from 04/05 service planning to be picked up and added to risk register.</li> <li>Risk profiling workshops to take place with remaining departments to re-assess identified risks and create management action plans for each risk.</li> <li>Audit to carry out ongoing reviews of risk register including the authentication of management action plan targets and completion dates.</li> <li><i>As per above, risk profiling workshops to take place with departments in the autumn.</i></li> <li><i>Workshops to include how to analyse cost against benefits of risk control measures.</i></li> <li><i>SMB to review and update current strategic risks.</i></li> </ul> | <p>Quarterly</p> <p>May 04</p> <p>Jul 04</p> <p>Ongoing</p> | <p>Ongoing</p> <p>Awaiting IT risk register</p> <p>Scheduled for Sep/Oct 04</p> <p>Audit started Jul 04</p> | <p>RMG</p> <p>MN</p> <p>MN &amp; ZMMS</p> <p>Audit &amp; Risk Manager</p> |
| Further involve Members in the risk assessment process.   | <ul style="list-style-type: none"> <li>Toolkit for members to be finalised and distributed.</li> <li>Members questionnaire to be extended to all members.</li> <li>Feedback from questionnaire to be compiled.</li> </ul>   | <p>May 04</p> <p>Apr 04</p> <p>May 04</p>                   | <p>Incorporated into managers toolkit</p> <p>Being reviewed</p> <p>Being reviewed</p>                       | <p>MN</p> <p>MN &amp; CL</p> <p>MN</p>                                    |

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|--|--|---------|----------------|-------------------------|
|  | <ul style="list-style-type: none"> <li>Members seminar/workshop to be arranged to pick up on issues arising from questionnaire and to raise awareness of risk management.</li> </ul>             | Sep 04  | Being reviewed | Risk Manager            |
| Develop an intranet site specifically for risk management, making available key documents and tools for download.  | <ul style="list-style-type: none"> <li>Risk, managed toolkit to be made available on-line.</li> </ul>  | Apr 04  | Due Aug 04     | MN                      |
|  | <ul style="list-style-type: none"> <li>Risk assessment template to be made available on-line.</li> </ul>   | Apr 04  | Due Aug 04     | MN                      |
|  | <ul style="list-style-type: none"> <li>Intranet site to be made available containing news, updates and other useful documents, reference.</li> </ul>   | Aug 04  | On track       | Risk Manager            |
| Raise awareness of and reinforce the importance of effective risk management as part of the everyday work of employees, through training, newsletters etc. | <ul style="list-style-type: none"> <li>Current one day training course on risk management to continue through to end of 2004/05 with suitable advertising of course to staff.</li> </ul>         | Ongoing | Completed      | RMG & External trainers |
|  | <ul style="list-style-type: none"> <li>Content of risk management course to be reviewed and changed if necessary in line with any feedback from delegates or changes to policy.</li> </ul>       | Aug 04  | On track       | MN & Risk Manager       |
|  | <ul style="list-style-type: none"> <li>Risk management initiatives (suggestion) scheme to be introduced as a pilot within the finance department.</li> </ul>                                     | Apr 04  | Completed      | MN                      |
|  | <ul style="list-style-type: none"> <li>Following pilot scheme, risk management initiatives scheme to be rolled out to all departments.</li> </ul>  | Jul 04  | Completed      | MN                      |
|  | <ul style="list-style-type: none"> <li>Updates on risk management initiatives to be communicated to staff through various department newsletters and on the risk management web site.</li> </ul> | Ongoing | On track       | Risk Manager            |

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|---|---------------|-------------|---------------|------------|
| <b><i>Audit report – R1</i></b><br><br><i>Build on knowledge and experience gained to ensure that risk management is used as basis for key decision making.</i>                 |               |             |               |            |
| <b><i>Audit report – R 2</i></b><br><br><i>Establish formal arrangements to ensure that incident reporting arrangements are fed directly into risk assessments.</i>             |               |             |               |            |
| <b><i>Audit report – R5</i></b><br><br><i>Ensure that findings from risk monitoring at the top levels of the Council are effectively fed back to the risk management group.</i> |               |             |               |            |

Key:

MN – Mark Nicolson, Risk & Insurance Manager

CL – Chris Lee, Assistant Chief Executive

RMG – Risk Management Group

ZMMS – Zurich Municipal Management Services