

Appendix 4: Corporate Risk - Self Evaluation Matrix 2018

Strategy / Goal	Goal Interpretation	Evidence Example	Evaluation			
			1	2	3	4
<p>1. To comply with legislation and guidance.</p> <p>Encourage strong leadership in championing the importance of a common-sense approach to risk in the workplace.</p>	Elected Members and Management are aware of their responsibilities for risk and the responsibilities are considered in strategic decision making.	<ul style="list-style-type: none"> • Risk is discussed at management 1:1's • Risk appears quarterly on the agenda for meetings at all levels. • Appraisals of senior managers include an assessment of their contribution to risk performance. • An annual report on risk and wellbeing performance is considered by Cabinet / CLT and within SMTs. • Corporate risks are included in all strategic decision making processes. • The Councils position on risk influences partner organisations and the community. 				
		<p>Comments:</p> <p>TOTAL section evaluation score /24</p>				
<p>2. To continue to embed risk management into the culture of the Council, and manage risk in accordance with best practice, to encourage an increase in competence, and understanding enabling greater ownership and profiling of risk, thereby promoting sensible and proportionate risk management.</p>	Management at all levels are trained and competent to manage their services risks.	<ul style="list-style-type: none"> • The Elected Members, CEO and Directors and those with responsibilities for managing risk have attended appropriate training, provided by Zurich • Training by Zurich for Elected members and senior management includes details of their risk responsibilities and sensible risk management • Certified risk training to be a requirement for managers as part of recruitment or within one year of taking up the post. 				
		<p>Comments:</p> <p>TOTAL section evaluation score /12</p>				
<p>3. To focus on the core aims of risk management and by doing so, to help risk makers and managers distinguish between issues and trivial or ill-informed criticism, promoting the recognition of risk within the Council's defined corporate policy</p>	A sensible/proportionate approach risk management is encouraged and those that try use avoidance as a means for not managing a situation are actively challenged.	<ul style="list-style-type: none"> • Sign up to ALARM: National Forum for Risk Management in the Public Sector • Encourage a positive risk culture, which is not risk averse e.g. "can do", "freedom within boundaries" • A positive communications strategy that disseminates information from informed sources • Open communication about risk issues between all levels of employees. 				
		<p>Comments:</p> <p>TOTAL section evaluation score /16</p>				
<p>4. To improve safety and increase safety awareness, specifically target key risks and to identify and work with those best placed to bring about a</p>	Providing overall benefit by balancing benefits and risks, with a focus on reducing real risks.	<ul style="list-style-type: none"> • Service and corporate Risk registers contain provisions to self-evaluate as well as horizon scan for risks that may affect 				

reduction in the incidence rate and number of cases of work-related injury and ill health.	Enabling individuals to understand that as well as the right to protection, they also have to exercise responsibility.	<ul style="list-style-type: none"> their team, or service The Council's Health and Safety Policy and risk assessments are available to all staff Access to health support e.g. counselling, Employee Assistance Programme There is ongoing monitoring of health and safety by Management Provision of guidance from Health and Safety officer and external agencies when required Council work in partnership with external agencies. 				
		Comments: TOTAL section evaluation score /20				
5. To reduce disruption to services by having effective contingency or recovery plans in place to deal with incidents when they occur. To set priorities and, within those priorities, to identify which activities, their length and scale, deliver a controlled reduction in the risk rating.	Priorities are established and monitored so that it is ensured that resources are directed / targeted to maximise reductions in impact following a breach of a risk.	<ul style="list-style-type: none"> Chief Exec signs off Council 's risk policy biennially Annually reporting and continually monitoring risk and improvements in business plans Participation in peer review / benchmarking and exercises. 				
		Comments: TOTAL section evaluation score /12				
6. Protecting Council property, services and public image and minimise injury and damage that may cause loss and inconvenience to residents, staff, service users, and/or assets. To take into account of wider issues that impact on Corporate, service and team risks as part of the continuing drive to improve performance.	Arrangements are in place to actively horizon scan for key risks that will reduce the likelihood of those risks manifesting uncontrollably.	<ul style="list-style-type: none"> Encourage management involvement in external forums Health and Safety Benchmarking of on all partners, suppliers and contractors carried out within procurement exercises Work with the voluntary, independent and private sectors to improve performance and assistance given to the Council SWOT analysis carried out as part of business planning process. 				
		Comments: TOTAL section evaluation score /12				
7. Annually review robust frameworks and procedures for the identification, analysis, assessment and management of risk, and the reporting and recording of events, based on best practice.	The initial framework should be fit for purpose, and measured against best practice. Subsequent annual reviews should include both risks to the Council and to stakeholders.	<ul style="list-style-type: none"> Annually assess the risk framework against best practice Ensure the quarterly reviews cover current risks and up and coming threats and opportunities Using the test of reasonability ensures scoring and controls reflect reality 				
		Comments: TOTAL section evaluation score /12				

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TOTAL EVALUATION SCORE /116

Score	Assessment	Findings / Conclusion	Action Required
1	Disagree strongly	Significant gaps / weaknesses exist or controls non-effective (generally non compliant)	Actions are identified to secure improvements, improved effectiveness and compliance / improved compliance.
2	Disagree slightly	Some gaps / weaknesses exist or controls only partly effective (partial compliance)	Actions are identified to secure improvements, better effectiveness and full compliance and evidence is signposted in support of areas of compliance.
3	Agree slightly	Some minor gaps / weaknesses exist but generally strengths outweigh weaknesses and controls are generally effective (generally compliant)	Evidence is signposted in support of areas of compliance and effectiveness and actions are identified to secure improvements in effectiveness and full compliance.
4	Agree strongly	Very few or no gaps / weaknesses exist and controls are effective (fully compliant)	Evidence is signposted in support of areas of excellent effectiveness and full compliance.