Management Action Plan

No.	Recommendations	Priority (H,M or L)	Management Comments	Agreed completion date
1	The risk management guidance should be reviewed as planned considering the recommendations within this report.	H	*This has been followed as recommended, and both the Policy and Strategy have been reviewed and updated.*	*Sept 2016*
2	The risk management guidance should be ratified by the Chief Executive and Leader of the Council on an annual basis to support the demonstration of senior level commitment. This could potentially be supported with a statement from the Chief Executive highlighting the importance of risk management, its benefits and the commitment to risk management	M	*This was a useful recommendation, which was agreed with and has now been actioned). The Chief Executive ratified the document, but also had some input into the contents and gave overall approval. This clearly demonstrates senior level commitment.*	*Aug 2016*
3	The current risk management guidance could be enhanced by: - a. Combining the strategy and toolkit into a single overall guidance document for managers on how the process works b. A definition of issue c. Guidance on identifying the root cause and consequence mapping for a risk d. Reference to the need for organisational learning.	M	*These recommendations were accepted and incorporated into the recent revision of the Policy and Strategy).*	*Sept 2016*
4	A risk appetite should be defined and agreed in line with the corporate plan and in the context of the wider operating environment.	M	*The section within the Risk Strategy on Appetite has already been expanded upon in the latest revision. However there is potential for more work to be done on this over the next year.*	*Sept 2016 and Ongoing*
5	Further enhancement to risk management framework, detailed in the risk management guidance (see Policies and Strategies, 4.1 above) to	L	*These recommendations are similar to the ones above and these specific observations were all followed when*	*Sept 2016*

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	support an improved understanding of risk. There should be defined and agreed processes for: a. Describing risks b. Evaluation of risks taking into account existing activities c. Reporting and monitoring processes and ensuring this is clear and aligned.		*reviewing and creating new versions of the Policy and Strategy.*	
6	Consider introducing a 'target risk score' to provide focus for the risk mitigation discussion and ensure consistency and quality around risk response.	*M*	*This approach was already under discussion with senior managers and members prior to this review taking place and has been proposed within the new Strategy. Starting at the first meeting of next year, it is proposed each register will be accompanied by a 'headline scorecard'.*	*January 2017*
7	The Council could benefit from seeking to enhance its organisational learning from the risk management process.	*L*	*There are examples of successful risk management, which if shared as 'lessons learnt', can gives others in the Council confidence in the effectiveness of this process. Examples are included in numerous training documents and intranet guides, such as the legacy benefits of 2012, and the advantages gained by carefully mapping any financial risks to mitigate potential losses. Risk Management maintains a detailed presence on the staffroom / intranet site. This was recently updated (April 2016).*	*Ongoing*
8	The Council should consider introducing an approach to assurance mapping which will enable a visual representation of the assurance landscape for each of the key risks. This can then be used as a basis for targeting future assurance efforts.	*L*	*This Corporate Risk Team attempted to undertake mapping of the Council's risks about a year ago but this proved impossible to do coherently given the number and varied areas of activity within Hackney. Although this system is useful for some organisations, particularly ones that are single services such as a housing association, trying to map the whole of the Council's areas of activity and risks would be a hugely resource intensive exercise. The theory is good but we do not believe the level of resources needed to try to implement and maintain such a system would be justified in an organisation such as Hackney.*	*NA*
9	Formalise links with other risk areas to	*M*	*Good links are maintained with other relevant sections, including Internal*	*Ongoing*

	ensure a more joined up approach to RM, there is an opportunity to enhance the integrated RM view.		*Audit and an increased frequency of meetings scheduled with the Insurance team.*	
10	Consideration should be given to ensuring risks are considered for review or reporting on a more frequent basis as required, significant risks may need more frequent review.	*L*	*Currently, the Council's Corporate Risks go to Audit Committee, at least annually, however, in 2016 this register will have been reviewed twice. Each Directorate Risks are reported to the Audit Committee once a year. With only 4 committee meetings in a year it is thought the frequency of these reviews is sufficient. Also if Committee have a particular interest in a specific area, they can request to review a register or receive more information on an ad hoc basis.*	*NA*
11	Communication of risk appetite and risk mitigation changes to enable improved and more coherent discussion and agreement around red risks and associated action plans.	*M*	*The Appetite forms a part of the Strategy, and when it is revised, it will be reissued and then internally publicised. See also the response to 4 above.*	*Sept 2016*
12	Standing or regular agenda item at senior management and HMT meetings to consider new and emerging threats to enable robust horizon scanning.	*L*	*Corporate Risk appears at HMT at least annually to present the Corporate register. This is also a chance to ask HMT to consider more generally what may constitute new risks and emerging threats. Individual directorate risk registers are discussed at DMTs.*	*Ongoing*
13	Engagement with relevant Member committees on a regular basis to seek thoughts on new and emerging threats, again to feed into horizon scanning.	*M*	*There have been meetings held with Members outside of the formal environment of Committee. However, there needs to be a separating line as the Council needs to assess its risks internally, and then report back for feedback from members. Members should not directly influence what is on the registers as ownership of risk rests with management.*	*NA*
14	Ensure future risk training for Members includes reference to areas of the risk approach revised as a result of the recommendations in this document, especially around risk descriptions, risk appetite and risk mitigation.	*M*	*This will be reflected the next time training is given. Short term, there is none planned, as training was delivered in each of the last two years, however, if there is a change to the membership of the committee or if Members consider it would be beneficial then further training will be organised.*	*2017/18*
15	Provide awareness training for senior officers and relevant senior management groups. A regular training schedule should be drawn up and	*M*	*Training is ongoing and available to all. Services are made aware of its availability, and given the opportunity to request it. Regarding e-learning, this is something that has not yet been*	*Ongoing*

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			developed but could be a worthwhile project. This would be quite a long term effort though, with limited resources.	
	implemented, e.g. annual refresher for Members; mandatory e-learning or other awareness training for employees; induction for new starters etc. Continued communication of risk management through regular training and education will help to embed a robust risk culture operationally and strategically and assist informed risk decision-making.			
16	Consider establishment of a Risk Management Group which is focused around skills development, knowledge sharing and activity around corporate cross cutting risks and action plans. This group must have a clear and robust terms of reference	L	This was attempted in the past but proved to be ineffective and poorly attended, when it met on a regular basis. This recommendation was discussed during the Healthcheck, and the consultant was made aware that the Council did not feel this would be a constructive way forward. The current approach is to hold individual meetings between specific Champions and the Corporate Risk Advisor. This achieves better buy-in from the Champions. A pilot meeting will be scheduled for all involved to test how effective and productive reintroducing such liaison meetings on a six monthly or annual basis would be.	April 2017
17	Revise the Procurement risk management guidance document to ensure alignment with the corporate approach moving forward, broaden to also span key partnerships and include version control, date and approval.	L	This will be raised with the Procurement Team. There were recently some considerable restructures in this team.	March 2017
18	Develop a partnership register and supporting toolkit (how to manage your key partnerships) to strengthen governance arrangements for key partnerships, this is particularly important if the number of partnerships increase.	L	This already exists with the actual Partnership unit, and is reflected within some of the corporate risks.	NA