

Alarm CIPFA Risk Management Benchmarking Club 2015

DRAFT REPORT

Leicester City Council

compared with

21 Other Club Members

Draft Report: Important Information

1) Purpose of Report:

First and foremost it gives you quick feedback. Whilst the quantity and quality of data is improved in the final report the big picture is unlikely to change substantially.

Secondly, it gives you a chance to check your responses and then to submit amendments should you wish to change your data.

2) Submitting Amendments:

If you wish to send in any amendments/alterations simply resubmit your questionnaire containing the updated information.

Please can you send in any amendments to **benchmarking@cipfa.org** by **31st October 2015**.

3) Please Note:

This is a draft report from our point of view as well!

If you have any suggestions for improvements or ways we could make it more useful for you please don't hesitate to contact us.

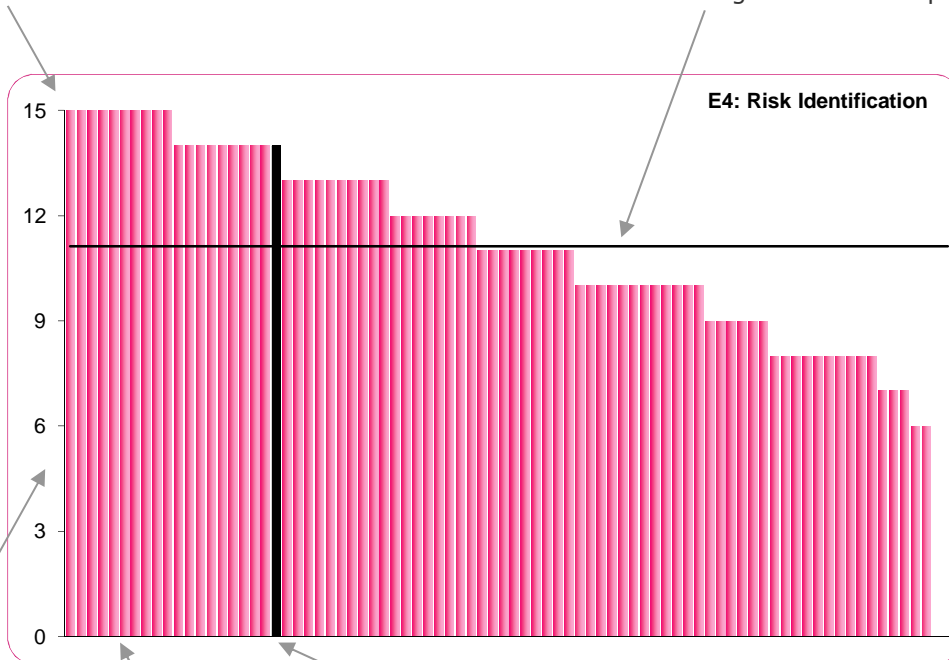
We will be sending out the comparator request forms on the **31st October 2015**. These enable you to select the group of organisations to be compared with in your final reports.

If you have any queries please contact **David Gerrard** on 020 7543 5763.

Understanding Our Charts

The scale is set so the top of the scale is the **maximum possible score**.

The horizontal line shows the average score for the organisations compared.



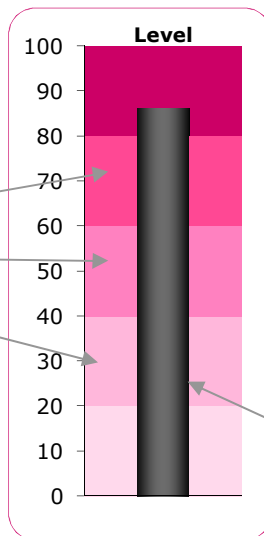
The y-axis shows the score.

Each bar represents an organisation's score.

The black bar represents your organisation's score.

Summary bars are provided for the section totals

The shaded areas represent the different maturity bands (Awareness, Happening, Working, Embedded & Integrated, Driving)



The black bar represents your organisation's score.

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* Section J will only be printed for organisations that were members last year.

Introduction

Welcome to your 2015 Risk Management benchmarking report. This is the sixth year of this Benchmarking Club and we hope members have found it useful and felt that the changes made have made the exercise simpler and better.

The exercise has been designed as a performance improvement tool. It's about helping you raise the standards of risk management within your organisation. It is based on Alarm's National Performance Model for Risk Management in Public Services, published in 2009. This is available to download from www.alarm-uk.org.

This Benchmarking Club was initially conceived by an Alarm Special Interest Group, comprising of professional, practising risk managers, and developed into its final version in collaboration with leading risk management consultants, Det Norske Veritas (DNV).

The National Performance Model is based on the highly respected tool developed by HM Treasury in 2002, "Risk Management Assessment Framework", itself having its genesis in an EFQM approach. It breaks down risk management activity into seven strands:

- Leadership and management
- Policy and strategy
- People
- Partnerships and shared resources
- Processes
- Risk handling and assurance
- Outcomes and delivery

Under each strand, a series of questions have been developed which members have answered. These answers are weighted to reflect their relative impact on performance and collated into a final "score" for each section. This identifies the level of maturity the organisation has reached. This report provides the initial findings of yours and comparator organisations.

We expect that you will be using the results contained within this report as the basis of the evidence that you will use to provide your organisation with assurance of the standard of risk management that it has reached, along with comparison with others within the public sector.

Summary

Here is an overview of your results in each area. Please see later sections for breakdowns of these results.

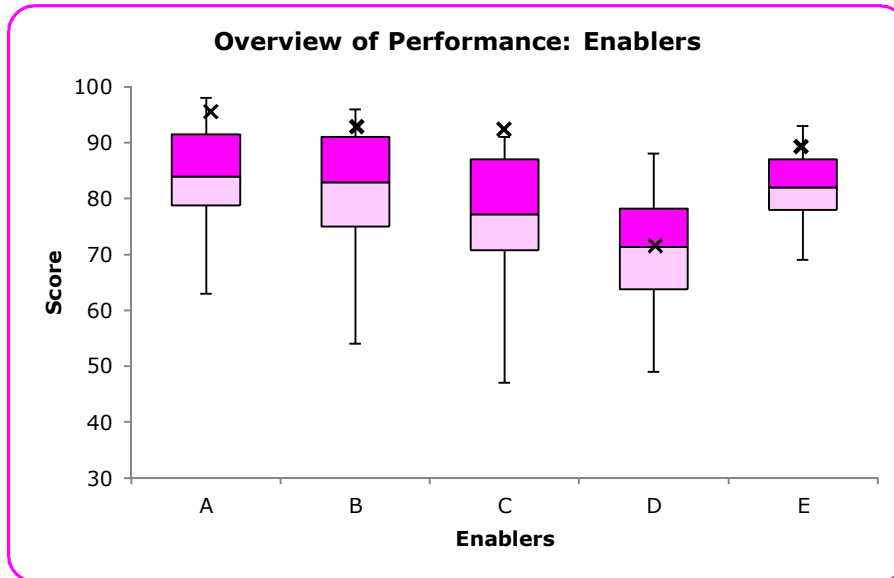
Enablers	Leadership & Management	Awareness	Happening	Working	Embedded & Integrated	Driving
	Policy & Strategy	Awareness	Happening	Working	Embedded & Integrated	Driving
	People	Awareness	Happening	Working	Embedded & Integrated	Driving
	Partnerships & Shared Resources	Awareness	Happening	Working	Embedded & Integrated	Driving
	Processes	Awareness	Happening	Working	Embedded & Integrated	Driving
Results	Risk Handling & Assurance	Awareness	Happening	Working	Embedded & Integrated	Driving
	Outcomes & Delivery	Awareness	Happening	Working	Embedded & Integrated	Driving

Level Guide:

Awareness	<20%
Happening	20 - 45%
Working	45 - 70%
Embedded & Integrated	70 - 85%
Driving	85%+

The graphs below portray a general overview of performance for Enablers and Results for your organisation, compared with the all other members of the Risk Management Club. The graphs show the minimum score, lower quarter, average, upper quarter and maximum score. The member position is marked with a black "x".

Overview of the Performance: Enablers



Enablers:

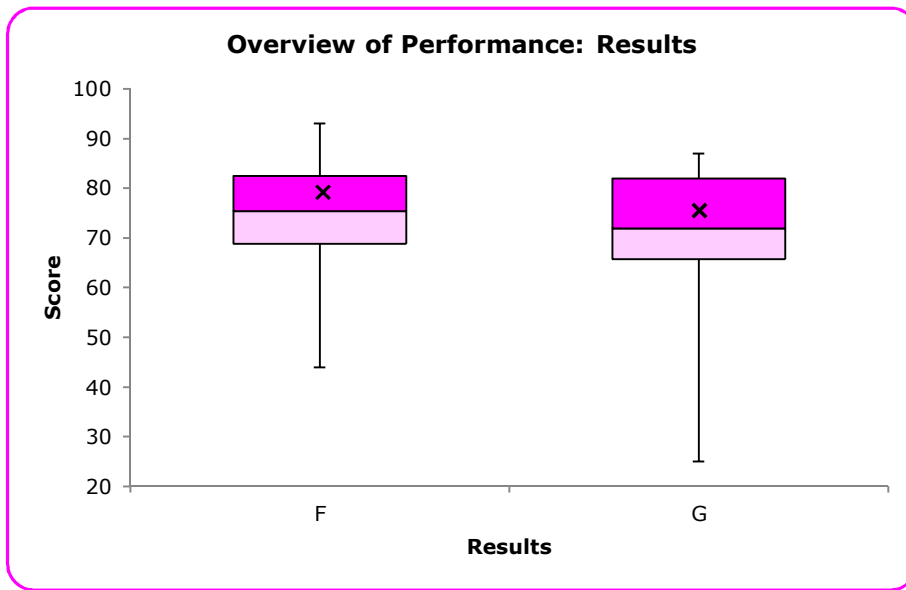
A - Leadership & Management
B - Policy & Strategy
C - People
D - Partnerships & Shared Resources
E - Processes

Enablers Level Guide:

Awareness	<20%
Happening	20 - 45%
Working	45 - 70%
Embedded & Integrated	70 - 85%
Driving	85%+

Performance: Enablers					
	A	B	C	D	E
Your Organisation	94	93	91	72	88
Minimum Score	63	54	47	49	69
Lower Quarter	79	75	71	64	78
Average	84	83	77	71	82
Upper Quarter	92	91	87	78	87
Maximum Score	98	96	91	88	93

Overview of the Performance: Results



Results:

- F - Risk Handling & Assurance
- G - Outcomes & Delivery

Results Level Guide:

Awareness	<20%
Happening	20 - 45%
Working	45 - 70%
Embedded & Integrated	70 - 85%
Driving	85%+

Performance: Results		
	F	G
Your Organisation	82	78
Minimum Score	44	25
Lower Quarter	69	66
Average	75	72
Upper Quarter	83	82
Maximum Score	93	87

Section A: Leadership & Management

Do Senior Management and the Executive Board support and promote risk management?

This section is concerned with:

- Risk judgements
- Clear direction
- Risk appetite
- Understanding key risks
- Accountability and responsibility
- Driving improvement
- Challenge to levels of risk acceptance
- Stakeholder engagement

The questions deal with:

- Information and decision making
- Escalation and reporting systems

- Accountability and management responsibility

- Leading risk management implementation

There should be evidence to demonstrate the extent to which the leadership of the organisation:

- Uses risk management to develop effective policies at the policy making stage.
- Uses risk management to achieve better outcomes
- Provides clear direction on the management of risk

- Enables unanimity on the key strategic risks

- Sets the criteria/arrangements for the organisation's appetite for taking risks

- Encourages innovation through well-managed risk taking

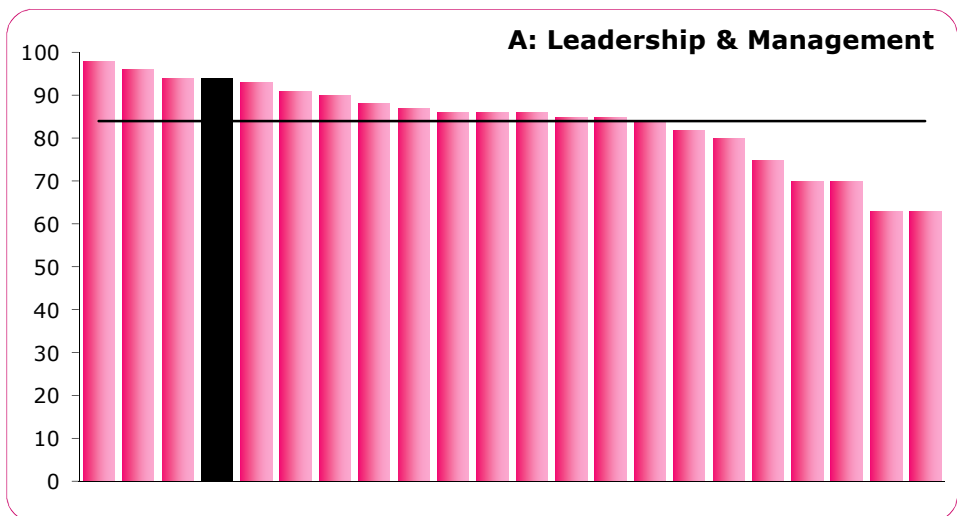
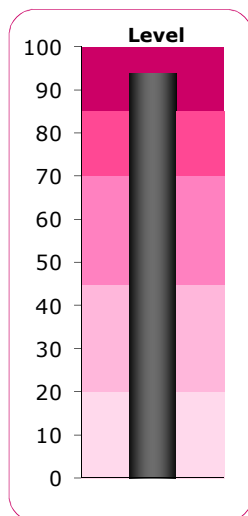
- Supports staff when things go wrong (i.e. avoids a blame culture)

- Ensures clear accountability for managing risk

- Drives implementation of improvements in risk management

- Uses the principles of good governance to manage risks

Assessed Level: Driving



Score provided: 94 Average score: 83.9

Summary of Behavioural Progress toward Leadership & Management Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
Senior management are aware of the need to manage uncertainty and risk and have made resources available to improve.	Board/Councillors and senior managers take the lead to ensure that approaches for addressing risk are being developed and implemented.	Senior managers take the lead to apply risk management thoroughly across the organisation. They own and manage a register of key strategic risks and set the risk appetite.	Risk management is championed by the CEO. The Board and senior managers challenge the risks to the organisation and understand their risk appetite. Management leads risk management by example.	Senior management uses consideration of risk to drive excellence through the business, with strong support and rewards for well-managed risk-taking.

Leadership & Management

A - Leadership and Management

Score provided: 94
 Maximum score: 100
 Average score: 83.9

A1 - Information and decision making

Score provided: 28
 Maximum score: 32
 Average score: 26.1

A2 - Escalation and reporting systems

Score provided: 12
 Maximum score: 12
 Average score: 10.7

A3 - Accountability and management responsibility

Score provided: 30
 Maximum score: 32
 Average score: 28.4

A4 - Leading risk management implementation

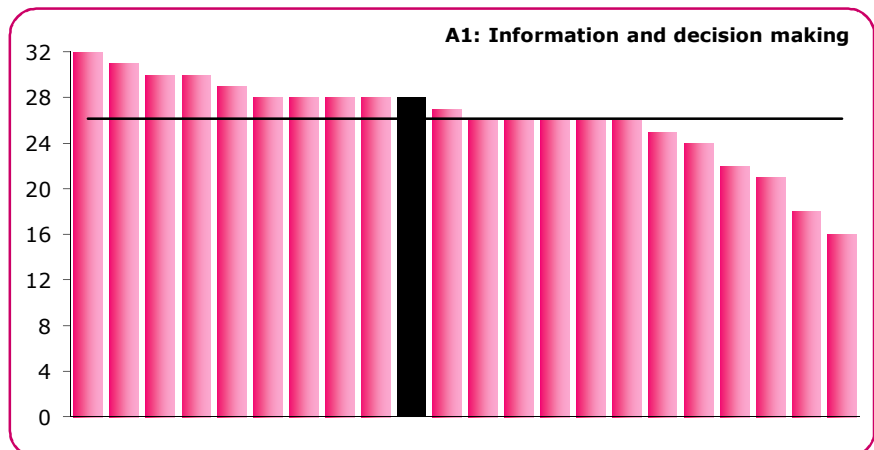
Score provided: 24
 Maximum score: 24
 Average score: 18.7

A1 - Information and decision making

This subsection explores the extent to which senior management are aware of the significant risks that face the organisation, ensure that appropriate actions are taken to manage those risks and use risk information to guide major decision making.

Number of questions: 3

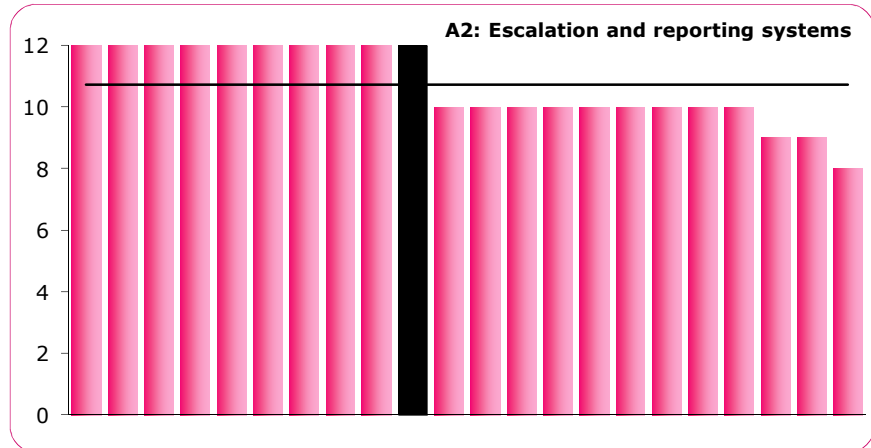
Score provided: 28
 Maximum score: 32
 Average score: 26.1



A2 - Escalation and reporting systems

This subsection measures that senior management ensures that the organisation has an appropriate escalation process in place for risk, that its risk management policy is kept up to date, implemented and effective.

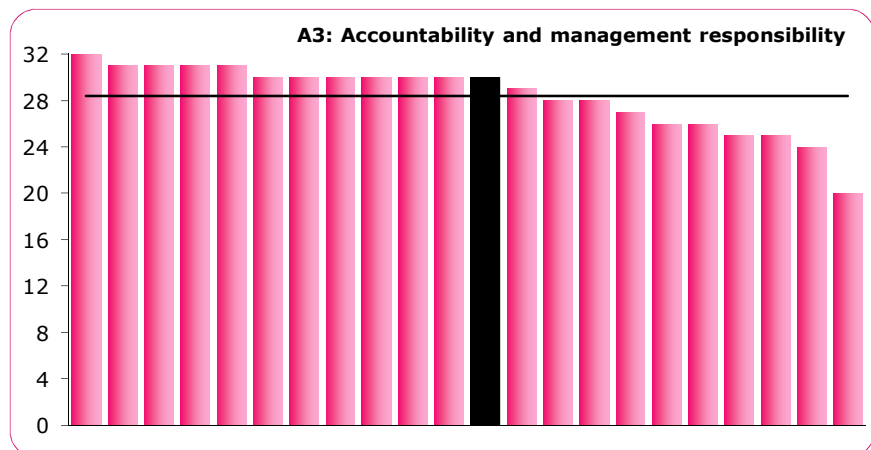
Number of questions: 1
Score provided: 12
Maximum score: 12
Average score: 10.7



A3 - Accountability and management responsibility

This subsection tests that senior management have ensured that clear responsibilities are outlined for risk management and that appropriate oversight of risk management activities is in place.

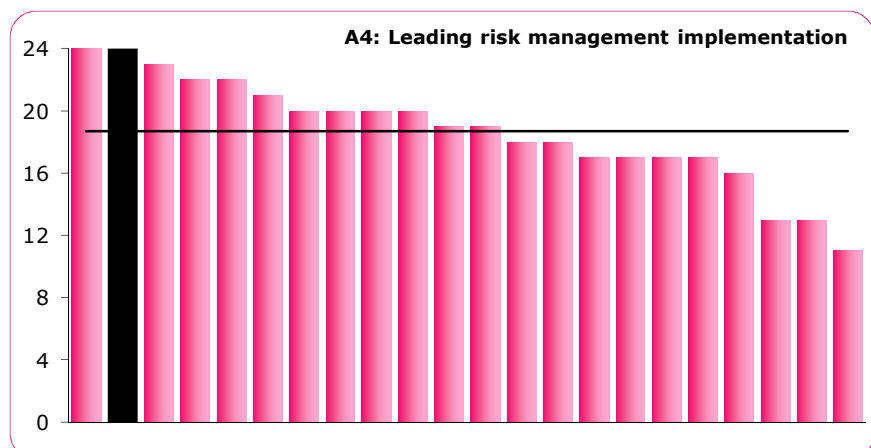
Number of questions: 3
Score provided: 30
Maximum score: 32
Average score: 28.4



A4 - Leading risk management implementation

This subsection explores the extent to which senior management is proactive in supporting and encouraging risk management and encouraging well managed risk taking across the organisation.

Number of questions: 2
Score provided: 24
Maximum score: 24
Average score: 18.7



Leadership & Management: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

A1 - Information and decision making

(1) Does the Executive Team / Senior Leaders have a good understanding of and regularly review the key risks facing the organisation and their likely implications for service delivery?

Score: 10 Max: 10 Average: 8.8

(2) Does the Executive Team / Senior Leaders ensure that mitigating actions are implemented for significant risks where appropriate?

Score: 10 Max: 12 Average: 9.5

(3) Does the Executive Team / Senior Leaders have and use appropriate risk information to guide all major decisions?

Score: 8 Max: 10 Average: 7.9

A2 - Escalation and reporting systems

(4) Does the Executive Team / Senior Leaders conduct regular reviews of the effectiveness of the risk management framework, and does this include at least an annual review of the risk management policy to ensure it remains appropriate and current?

Score: 12 Max: 12 Average: 10.7

A3 - Accountability and management responsibility

(5) To what extent do Senior Leaders oversee the risk management culture and are these responsibilities reviewed annually?

Score: 9 Max: 10 Average: 8.7

(6) How well do Board Members / Elected Members and the Executive Team / Senior Leaders effectively challenge the risk analysis and evaluation?

Score: 9 Max: 10 Average: 8.7

(7) To what extent has the remit of the Risk Management function/Risk Manager been determined, including the provision of adequate resources to deliver a 'fit for purpose' risk management framework?

Score: 12 Max: 12 Average: 10.9

A4 - Leading risk management implementation

(8) Are the Executive Team / Senior Leaders, Board Members / Elected Members, Trustees, Ministers, etc. proactive in supporting and encouraging risk management, and does the leadership of the organisation encourage and support innovation through well managed risk taking?

Score: 12 Max: 12 Average: 8.8

(9) To what extent are there mechanisms in place for the organisation to learn lessons from risk events?

Score: 12 Max: 12 Average: 9.9

Section B: Policy & Strategy

Are there clear strategies and policies for risk?

This section is concerned with:

- A strategic approach to the management of risk and increasing its effectiveness
- Policies

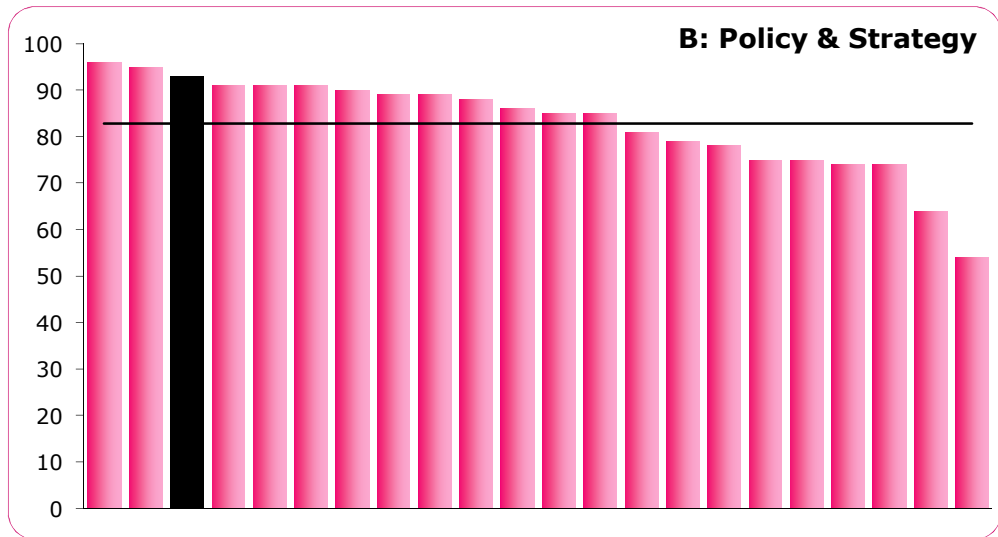
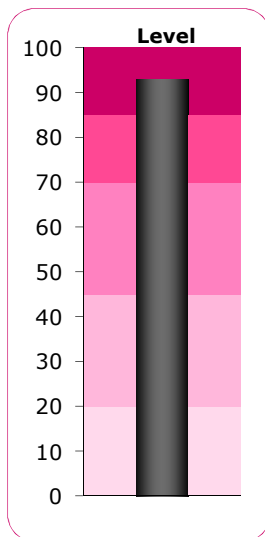
The questions deal with:

- Risk management policy (including risk appetite)
- Strategy

For this section, you should have evidence to demonstrate the extent to which the organisation has:

- Set a clear direction for the scope and priorities of its risk management
- Set the organisation's requirements of risk management as part of its overall approach to governance
- Designed and implemented a risk management framework

Assessed Level: Driving



Score provided: 93 Average score: 82.9

Summary of Behavioural Progress toward Strategy & Policy Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
<p>The need for a risk strategy and risk-related policies has been identified and accepted.</p> <p>The risk management system may be undocumented with few formal processes present.</p>	<p>Risk management strategy and policies drawn up, communicated and being acted upon.</p> <p>Roles and responsibilities established, key stakeholders engaged.</p>	<p>Risk management principles are reflected in the organisation's strategies and policies.</p> <p>Risk framework is reviewed, developed, refined and communicated.</p>	<p>Risk handling is an inherent feature of policy and strategy making processes.</p> <p>Risk management system is benchmarked and best practices identified and shared across the organisation.</p>	<p>Risk management capability in policy and strategy making helps to drive organisational excellent.</p>

Policy & Strategy

B - Policy & Strategy

Score provided: 93
 Maximum score: 100
 Average score: 82.9

B1 - Risk management policy

Score provided: 56
 Maximum score: 60
 Average score: 49.6

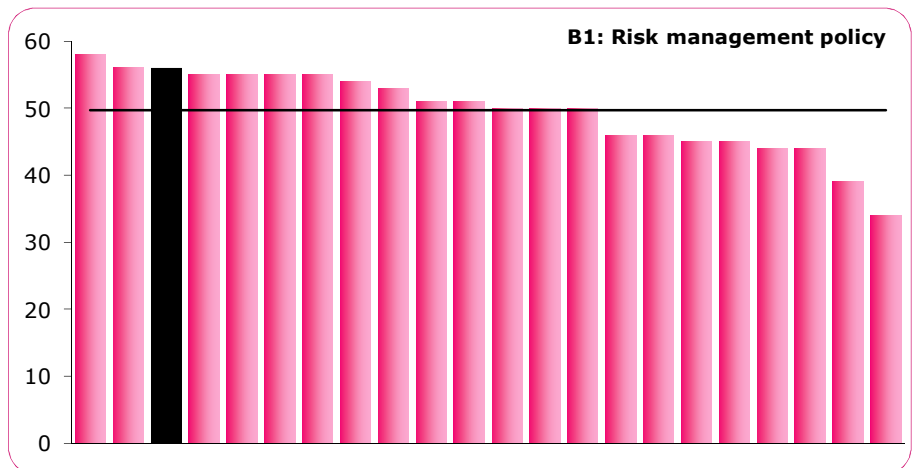
B2 - Strategy

Score provided: 37
 Maximum score: 40
 Average score: 33.2

B1 - Risk management policy

This subsection tests the extent to which the organisation's risk management policy conforms to a recognised and acceptable standard, including specifying its risk appetite (i.e. the levels of risk that it is prepared to accept).

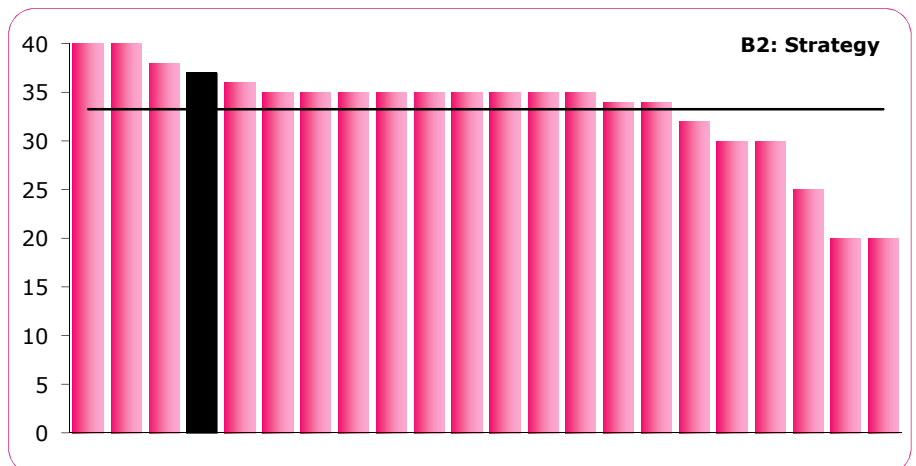
Number of questions: 2
 Score provided: 56
 Maximum score: 60
 Average score: 49.6



B2 - Strategy

This subsection explores the extent to which the organisation has a strategic approach to risk management and a whether a plan/do/review cycle is in place.

Number of questions: 1
 Score provided: 37
 Maximum score: 40
 Average score: 33.2



Policy & Strategy: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

B1 - Risk management policy

(10) Is there a risk policy that:

- has been approved by appropriate officers and members
- provides a clear and concise outline of the organisation's requirements for risk management
- provides a description of where risk management is positioned as part of the organisation's overall approach to governance
- specifies the accountabilities and responsibilities for managing risk
- specifies the processes, methods and resources available to be used for risk management
- specifies the way in which risk management performance will be measured and reported?

Score:	38	Max:	40	Average:	35.3
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(11) Does the risk management policy specify the organisation's risk appetite, and does this generally encourage managed risk taking throughout the organisation?

Score:	18	Max:	20	Average:	14.4
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B2 - Strategy

(12) How well does the risk management strategy support the aims and objectives of the organisation, by delivering successful outcomes and using risk management to facilitate sufficient planning, implementation, monitoring and reviewing?

Score:	37	Max:	40	Average:	33.2
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Section C: People

Are people equipped and supported to manage risk well?

This section is concerned with:

- Culture
- Roles and responsibilities
- Skills, training and guidance
- Communications

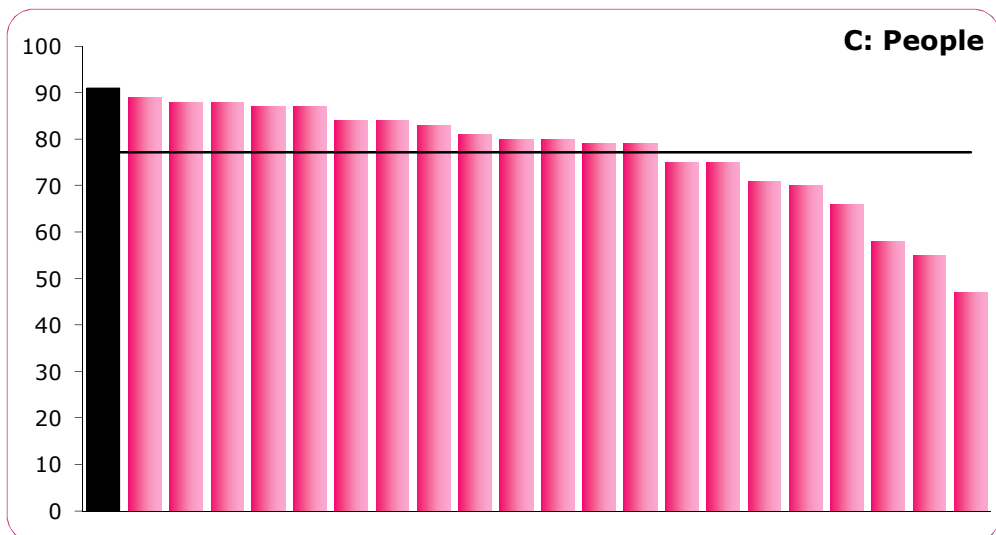
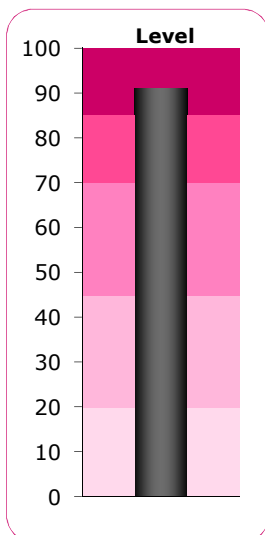
The questions deal with:

- Risk management culture
- Responsibility
- Skills and guidance - capability
- Communication

For this section, you should have evidence to demonstrate the extent to which there is:

- A risk-aware culture as opposed to a risk-averse culture at all levels within the organisation
- Responsibilities for risks are allocated to individuals to manage
- There are arrangements to ensure appropriate risk management awareness, knowledge, experience and skills among:
 - Governors/Executive Members
 - Senior Management
 - Staff

Assessed Level: Driving



Score provided: 91 Average score: 77.1

Summary of Behavioural Progress toward People Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
Key people are aware of the need to understand risk principles and increase capacity and competency in risk management techniques through appropriate training.	Suitable guidance is available and a training programme has been implemented to develop risk capability.	A core group of people have the skills and knowledge to manage risk effectively and implement the risk management framework. ----- Staff are aware of key risks and responsibilities.	People are encouraged and supported to take managed risks through innovation. ----- Regular training and clear communication of risk is in place.	All staff are empowered to be responsible for risk management. ----- The organisation has a good record of innovation and well-managed risk taking. ----- Absence of a blame culture.

People

C - People

Score provided: 91
Maximum score: 100
Average score: 77.1

C1 - Culture

Score provided: 23
Maximum score: 25
Average score: 18.8

C2 - Responsibility

Score provided: 19
Maximum score: 20
Average score: 16.6

C3 - Skills and guidance - capability

Score provided: 33
Maximum score: 35
Average score: 27.0

C4 - Communications

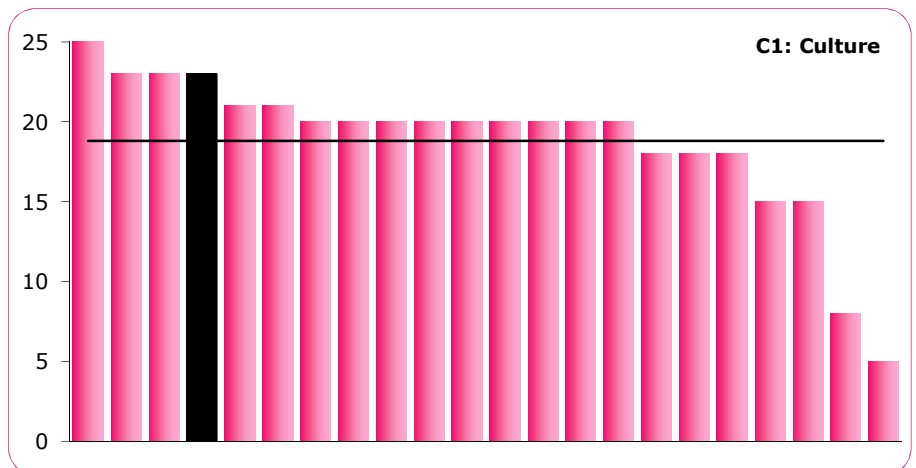
Score provided: 16
Maximum score: 20
Average score: 14.7

C1 - Culture

This subsection examines the risk management culture of the organisation, how risk issues are raised, the organisation's appetite for change and how it responds to incidents.

Number of questions: 1

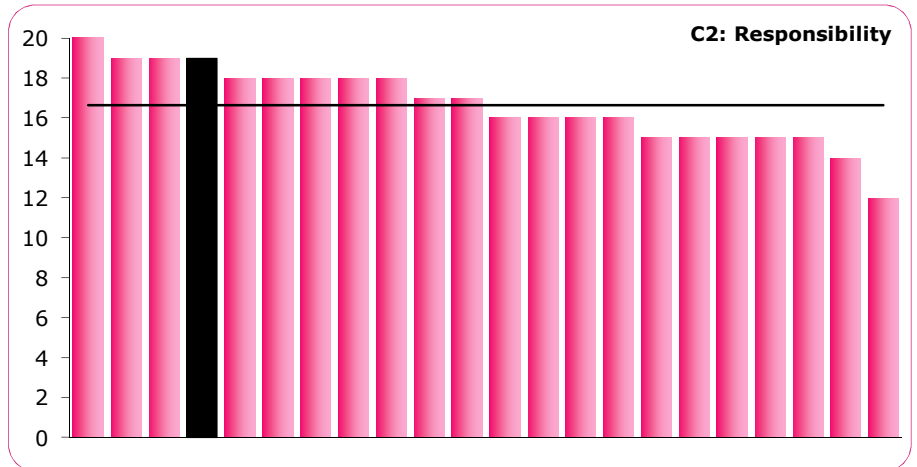
Score provided: 23
Maximum score: 25
Average score: 18.8



C2 - Responsibility

This subsection checks whether the organisation has provided its staff with appropriate delegation and responsibility for handling risks.

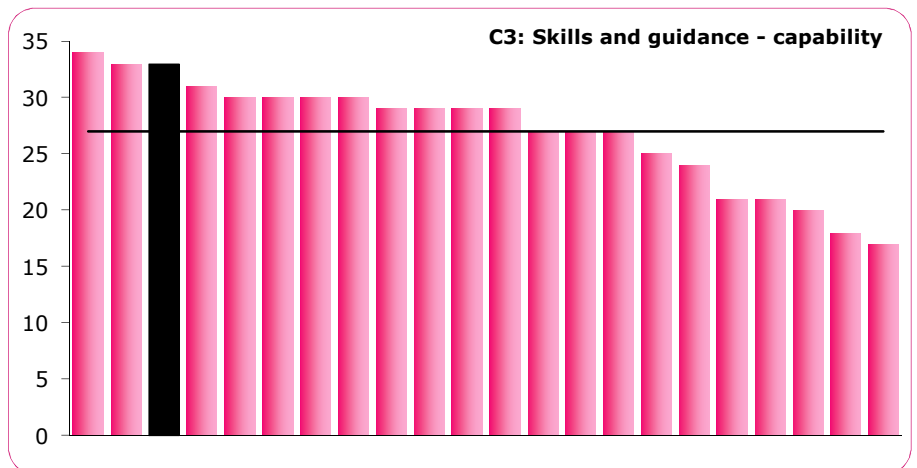
Number of questions: 2
Score provided: 19
Maximum score: 20
Average score: 16.6



C3 - Skills and guidance - capability

This subsection tests the levels of training and guidance that are in place to ensure that people have the right levels of skills and competencies to manage the risks they face.

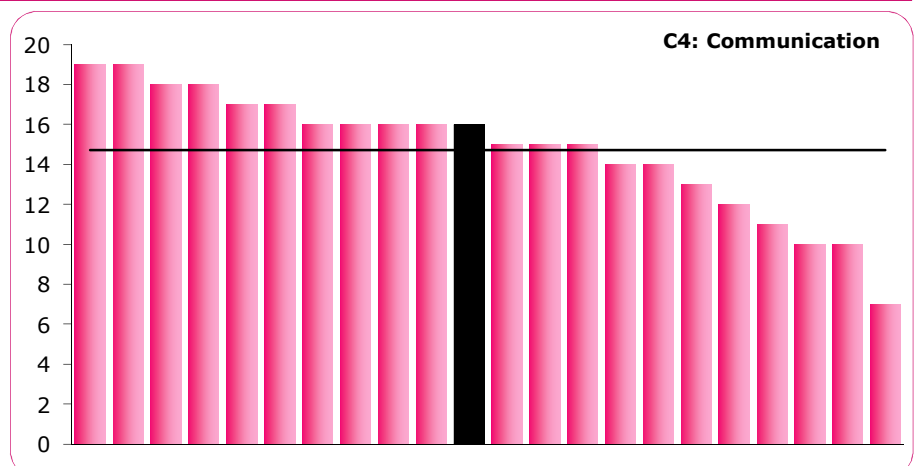
Number of questions: 2
Score provided: 33
Maximum score: 35
Average score: 27.0



C4 - Communication

This subsection explores how risk information is communicated across the organisation.

Number of questions: 2
Score provided: 16
Maximum score: 20
Average score: 14.7



People: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

C1 - Culture

(13) To what degree are staff at all levels encouraged to report incidents, challenge practices and raise risk issues?

Score: 23 Max: 25 Average: 18.8

C2 - Responsibility

(14) To what degree do staff have properly delegated, clear and appropriate responsibility for day-to-day and specialist risk management, investigation of incidents, business continuity management and managing risks/opportunities, controls and contingencies?

Score: 15 Max: 15 Average: 12.5

(15) To what extent is there evidence that people are clear when risks and opportunities should be referred elsewhere or escalated (e.g. line management, Audit Committee, Risk Committee, Board etc.) for consideration, and how effective are these arrangements?

Score: 4 Max: 5 Average: 4.1

C3 - Skills and guidance - capability

(16) To what extent are the arrangements in place to ensure staff receive assessment of their development needs and appropriate guidance and training, both internal and external, to rapidly address any risk management training, in terms of both induction and continuing development needs effective?

Score: 28 Max: 30 Average: 23.5

(17) Do Board Members / Elected Members, Trustees etc. receive appropriate risk management training to help them understand and discharge their responsibilities, for the level of risk they are facing?

Score: 5 Max: 5 Average: 3.5

C4 - Communications

(18) Is key risk management information communicated to the appropriate parts of the organisation, and is there a reliable communications strategy in place so that if risks materialise, those affected by the potential impact fully understand and have confidence in the remedial action that the organisation may need to take?

Score: 8 Max: 10 Average: 7.9

(19) Are staff aware of the significant risks, as appropriate to their role and the level of risk they face in that role and to what extent is there evidence that this influences their behaviour and decision making?

Score: 8 Max: 10 Average: 6.8

Section D: Partnerships & Shared Resources

Are there effective arrangements for managing risks with partners?

This section is concerned with:

- Managing risk to and within partnerships
- Area specific risks
- Shared risks
- Risk faced by the community
- Local resilience
- Partnership guidance
- Joint risk registers
- Resources available to manage risk effectively

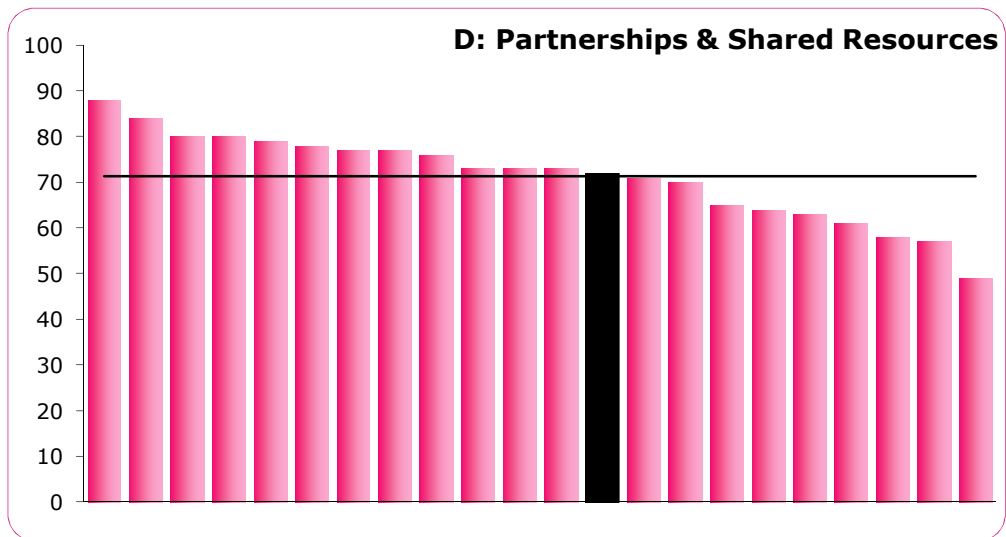
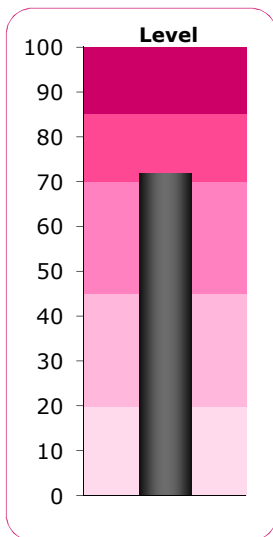
The questions deal with:

- Partnerships and shared services
- Risk finance
- Tools

For this section, you should have evidence to demonstrate the extent to which:

- There are agreed mechanisms for identifying, assessing and managing risks in each key partnership
- There is a common risk language which creates shared understanding of the key partnerships' risk appetite
- There are appropriate mechanisms for provision and testing of contingency arrangements
- There are appropriate mechanisms for identifying and addressing the implications of sharing risk amongst those best placed to manage them

Assessed Level: Embedded & Integrated



Score provided: 72 Average score: 71.3

Summary of Behavioural Progress toward Partnerships & Resources Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
Key people are aware of areas of potential risk in partnerships and the need to allocate resources to manage risk.	Approaches for addressing risk with partners are being developed and implemented. Appropriate tools are developed and resources for risk identified.	Risk with partners and suppliers is well managed across organisational boundaries. Appropriate resources are in place to manage risk.	Sound governance arrangements are established. Partners support one another's risk management capacity and capability.	Clear evidence of improved partnership delivery through risk management and that key risks to the community are being effectively managed.

Partnerships & Shared Resources

D - Partnerships & Shared Resources

Score provided: 72
 Maximum score: 100
 Average score: 71.3

D1 - Partnerships and shared services

Score provided: 33
 Maximum score: 50
 Average score: 31.3

D2 - Finance

Score provided: 24
 Maximum score: 30
 Average score: 23.3

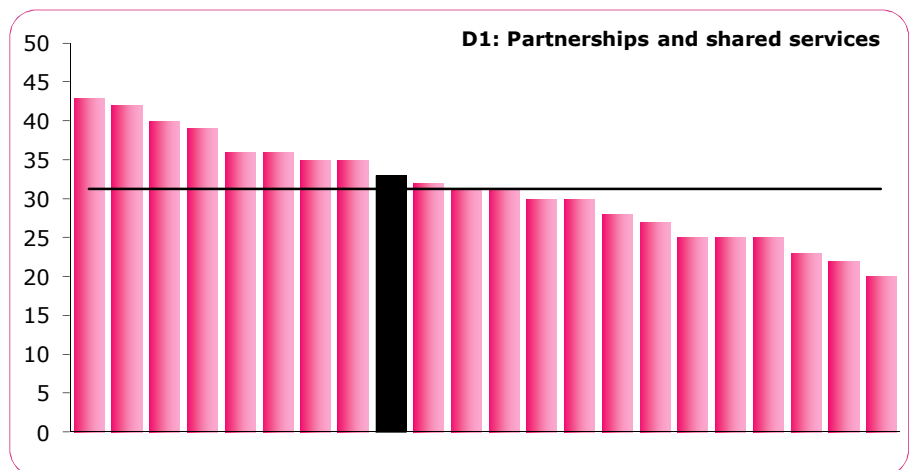
D3 - Tools

Score provided: 15
 Maximum score: 20
 Average score: 16.7

D1 - Partnerships and shared services

This subsection examines how the organisation ensures that its partnership and shared service work is undertaken with appropriate consideration of risk and that formal risk management arrangements are in place including a common approach to risk management.

Number of questions: 2
 Score provided: 33
 Maximum score: 50
 Average score: 31.3



D2 - Finance

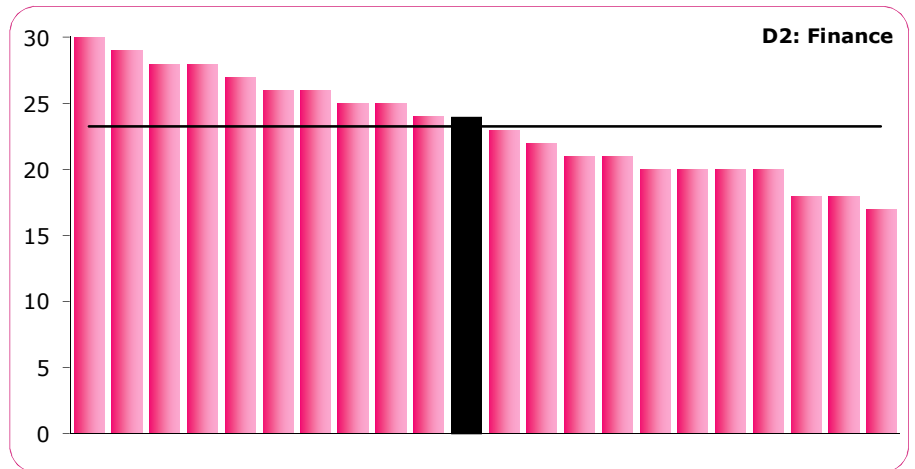
This subsection looks at the risk regarding financing arrangements for the organisation, both to ensure that sufficient resources are available to deliver its risk management strategy and to protect itself against insurable losses.

Number of questions: 2

Score provided: 24

Maximum score: 30

Average score: 23.3



D3 - Tools

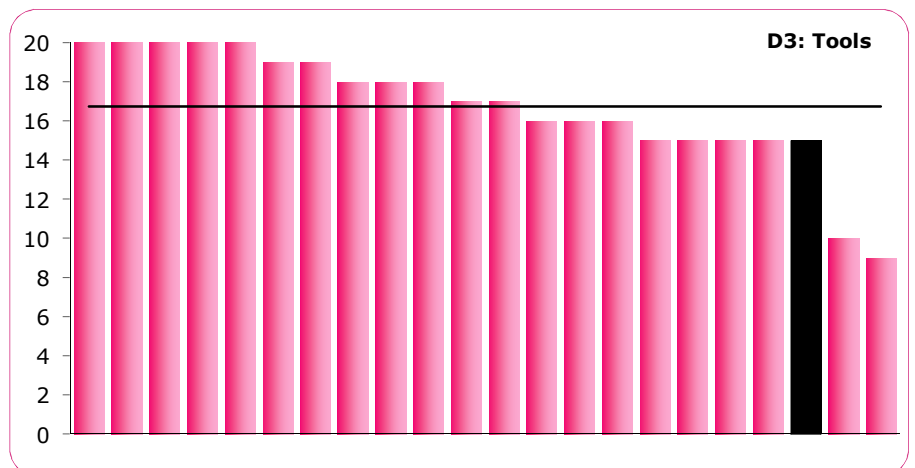
This subsection recognises that organisations manage their risks through a number of different tools and processes. These may include, but not be limited to, risk registers. It measures the extent to which a range of appropriate tools and process are available to the organisation to manage risk.

Number of questions: 1

Score provided: 15

Maximum score: 20

Average score: 16.7



Partnerships & Shared Resources: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

D1 - Partnerships and shared services

(20) Are all key partnerships formally identified and are there consistent and common approaches to managing risks with partners, which cut across organisation boundaries?

Score: 15 Max: 20 Average: 13.1

(21) Are your partnerships managing risks effectively, i.e.:

- Has the extent to which risks can be transferred to or shared with organisations best placed to manage and / or carry them (both public and private), been assessed?

- Is there an agreed protocol that defines when risk identification and assessments should be carried out jointly, and clearly establishes accountability and capacity maintained to monitor performance and take early action in the event of difficulty?

Score: 18 Max: 30 Average: 18.1

D2 - Finance

(22) Are sufficient budgetary resources provided to fund the implementation of the risk management strategy, and are additional budgetary resources provided when additional risk activities are cost-effective?

Score: 14 Max: 20 Average: 15.1

(23) Have active risk management measures, supported by appropriate resources, been taken to minimise insurable risks?

Score: 10 Max: 10 Average: 8.1

D3 - Tools

(24) Does the organisation have appropriate tools for:

1. Collecting risk information?
2. Analysing risk information?
3. Recording risk information?
4. Communicating risk information?

Score: 15 Max: 20 Average: 16.7

Section E: Processes

Does the organisation have effective risk management processes to support the business?

This section is concerned with:

- Embedding risk management in organisational management processes
- Identification and evaluation criteria
- Risk controls
- Action planning and reporting
- Use of risk management in strategic and financial planning, policy making and review, performance, and project and contract management
- Use of risk management in decision making
- Risk management integration into key business processes

The questions in this section deal with:

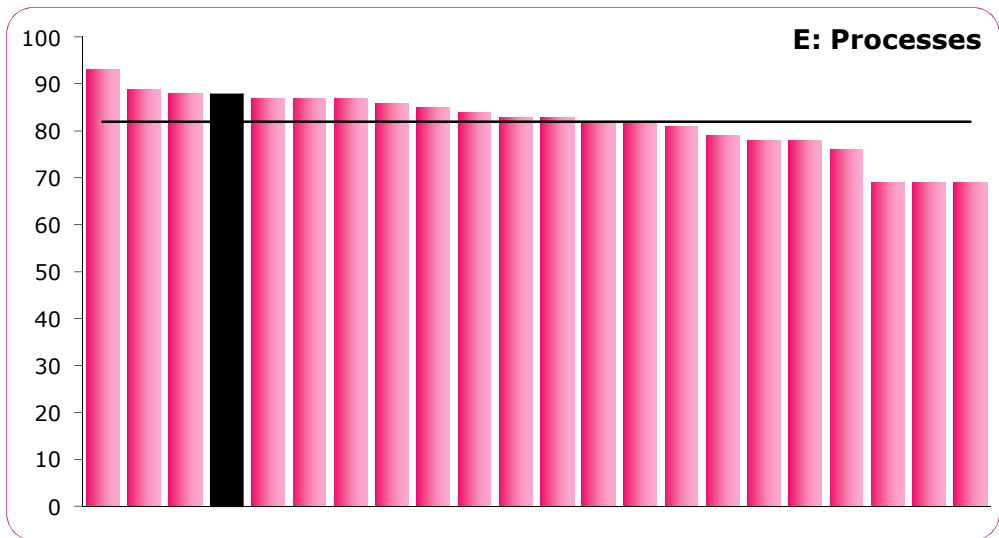
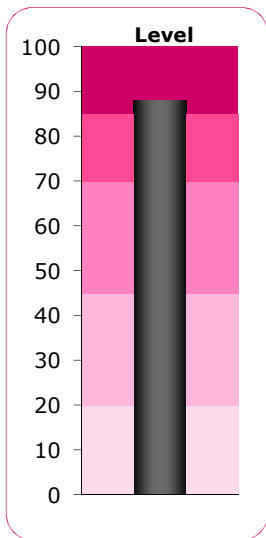
- Links to business/service processes
- Risk identification and analysis
- Risk response
- Risk reporting and review
- Information risk
- Service continuity

For this section, you should have evidence to demonstrate the extent to which risk management contributes to the success of the following business processes in your organisation:

- Policy making
 - Performance management
 - Governance arrangements
 - Financial management;
- and the extent to which:

- Risk processes support a lessons learnt culture
- There is an effective business continuity framework in place to support service delivery

Assessed Level: Driving



Score provided: 88 Average score: 82

Summary of Behavioural Progress toward Processes Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
Some stand-alone risk processes have been identified and are being developed. ----- The need for service continuity arrangements has been identified.	Risk management processes are being implemented and reported upon in key areas. ----- Service continuity arrangements are being developed in key areas.	Risk management processes used to support key business processes. ----- Early warning indicators and lessons learned are reported. ----- Critical services supported through continuity plans.	A framework of risk management processes in place and used to support service delivery. ----- Robust business continuity management system in place.	Management of risk and uncertainty is well-integrated with all key business processes and shown to be a key driver in business success.

Processes

E - Processes

Score provided: 88
Maximum score: 100
Average score: 82.0

E1 - Links to business/service processes overview

Score provided: 25
Maximum score: 30
Average score: 24.8

E2 - Risk identification and analysis

Score provided: 26
Maximum score: 30
Average score: 24.9

E3 - Risk response

Score provided: 15
Maximum score: 15
Average score: 12.0

E4 - Risk reporting and review

Score provided: 4
Maximum score: 5
Average score: 4.4

E5 - Information risk

Score provided: 8
Maximum score: 10
Average score: 8.1

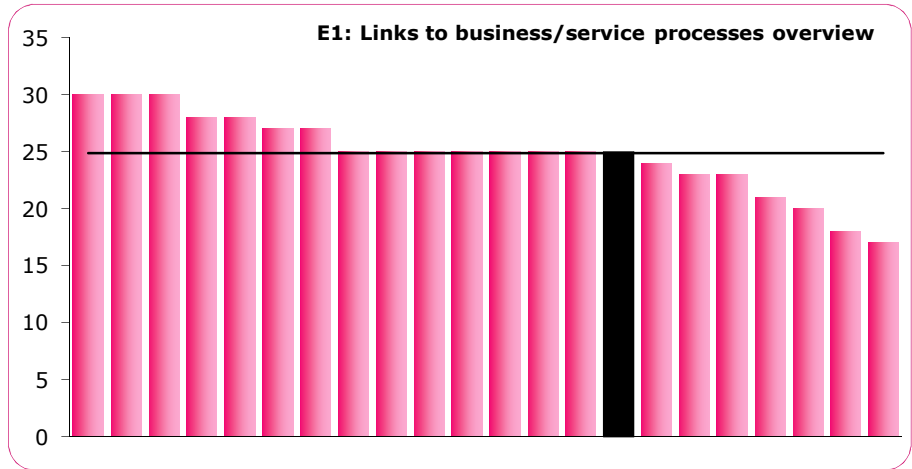
E6 - Service continuity

Score provided: 10
Maximum score: 10
Average score: 7.7

E1 - Links to business/service processes overview

This subsection explores how far risk management is embedded into a number of key business processes, such as decision and policy making, strategic planning, performance management and policy implementation, financial planning and major investment decisions.

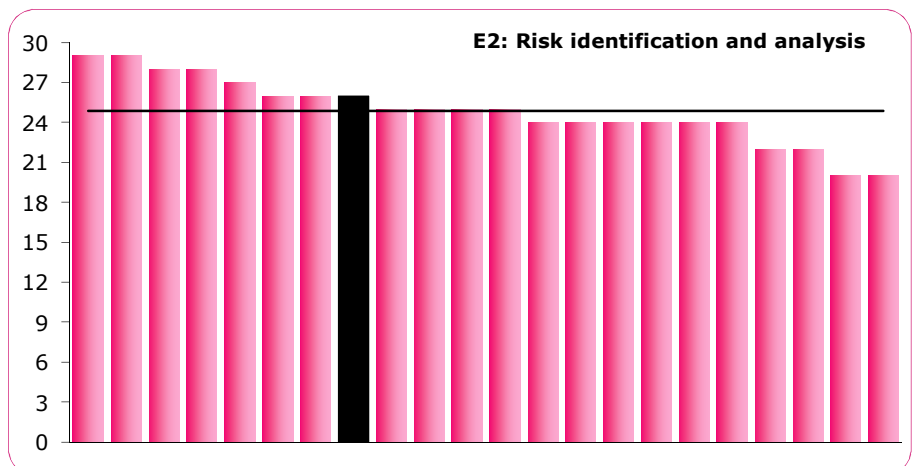
Number of questions: 1
Score provided: 25
Maximum score: 30
Average score: 24.8



E2 - Risk identification and analysis

This subsection tests that the risk identification process meets the requirements of recognised risk management standards and that an the analysis of risk is appropriate.

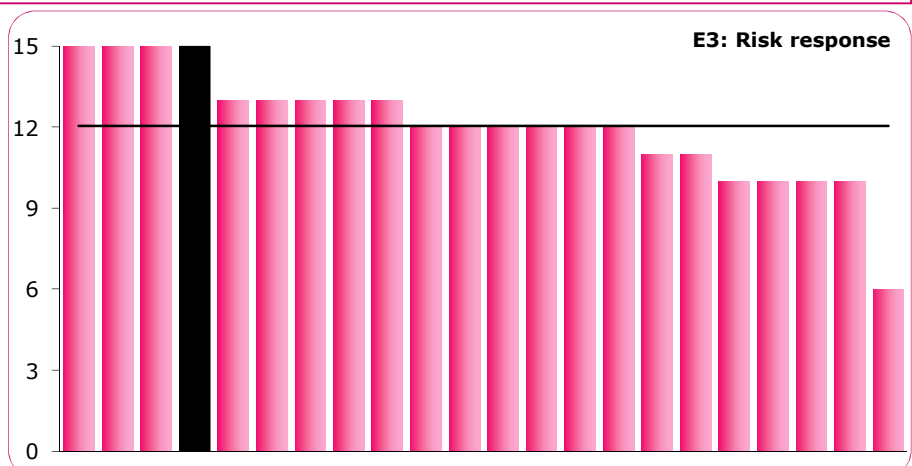
Number of questions: 1
Score provided: 26
Maximum score: 30
Average score: 24.9



E3 - Risk response

This subsection tests that the risk response process meets the requirements of recognised risk management standards.

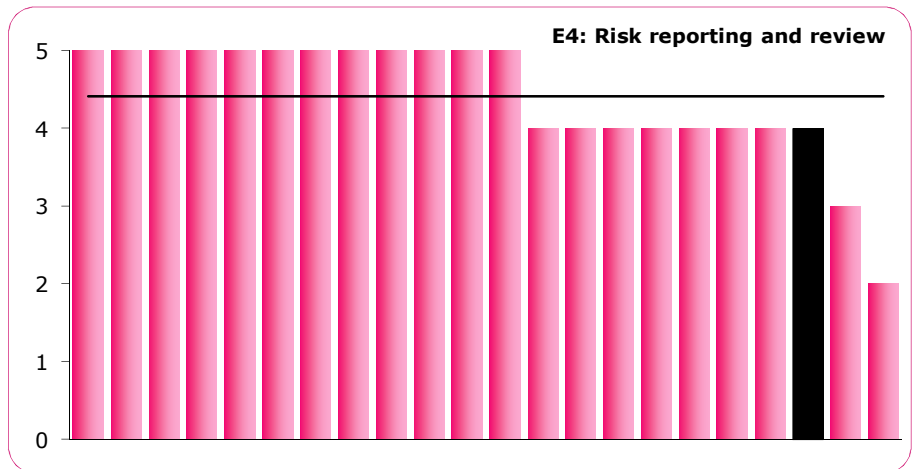
Number of questions: 2
Score provided: 15
Maximum score: 15
Average score: 12.0



E4 - Risk reporting and review

This subsection tests that the risk reporting and review processes meet the requirements of recognised risk management standards.

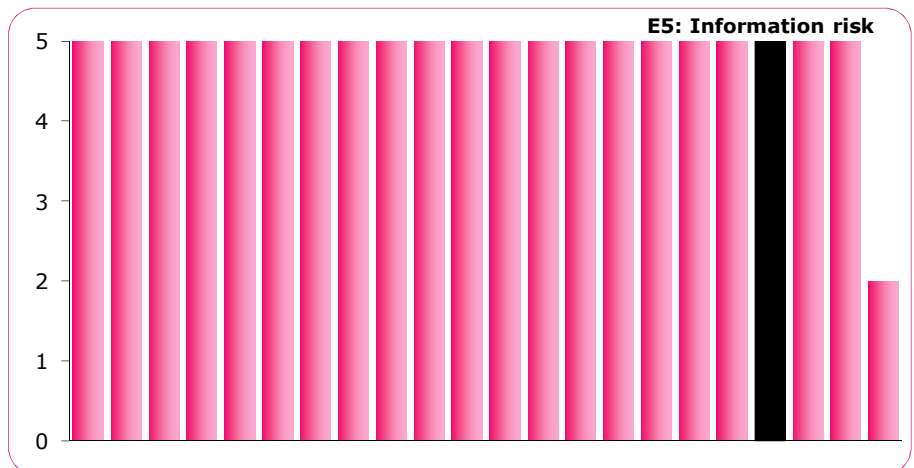
Number of questions: 1
Score provided: 4
Maximum score: 5
Average score: 4.4



E5 - Information risk

This subsection checks that appropriate arrangements for effective management of information risk and control processes are in place.

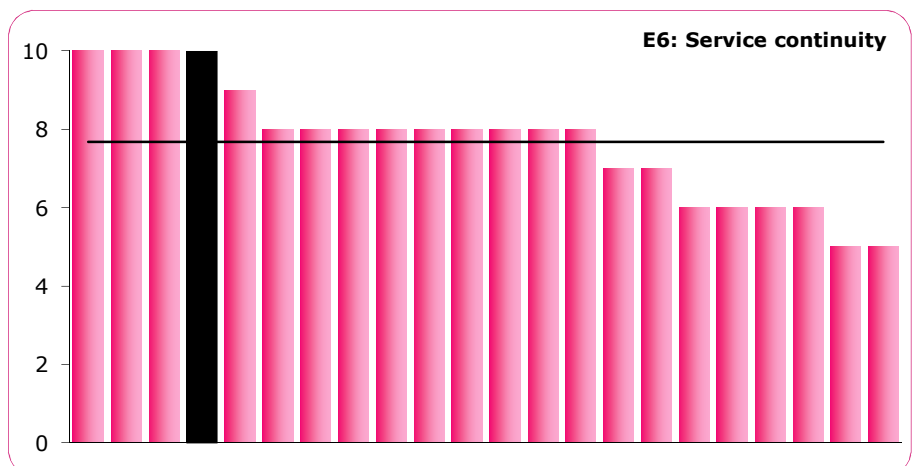
Number of questions: 1
Score provided: 8
Maximum score: 10
Average score: 8.1



E6 - Service continuity

This subsection checks to ensure that an effective business continuity management system is in place as an essential part of the organisation's risk mitigation arrangements.

Number of questions: 1
Score provided: 10
Maximum score: 10
Average score: 7.7



Processes: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

E1 - Links to business/service processes overview

(25) Are there formal links between risk management and other key business processes, for example decision making, major investment decisions, strategic planning, financial planning, policy making, review and implementation, and performance management?

Score: 25 Max: 30 Average: 24.8

E2 - Risk identification and analysis

(26) Are all significant risks and existing control and contingency measures identified:

- to reflect the internal and external context?
- within clear risk assessment boundaries pre-identification?
- to take account of different procedures, tools and techniques?
- to link to the achievement of corporate, departmental or service objectives?
- allowing the causes and consequences of risk to be identified?

Is 'horizon scanning' carried out to identify emerging risks and is the identification of opportunities embedded within the organisation? Are risk evaluation criteria applied consistently across all categories of risk, with evaluation carried out in terms of 'likelihood' and 'impact'? Are risks ranked for (if appropriate) gross risk, net risk and target risk?

Score: 26 Max: 30 Average: 24.9

E3 - Risk response

(27) Are there adequate early warning indicators in place to alert people to the potential impacts of risks - that are acted upon, with a mechanism to check that such indicators remain fit for purpose?

Score: 2 Max: 2 Average: 1.5

(28) Do the options for mitigating the risk include consideration of avoidance, modification, transfer and retention of risk (and, in the case of opportunities, seeking to exploit) and are the key risk control and contingency measures regularly assessed to see if they are in place and effective?

Score: 13 Max: 13 Average: 10.6

E4 - Risk reporting and review

(29) Are the key outputs from the risk management process:

1. Communicated to all relevant people?
2. Reviewed (at a later date) to ensure they remain valid, reflect changes in the context, and support better informed decisions?

Score: 4 Max: 5 Average: 4.4

E5 - Information risk

(30) Are the appropriate arrangements in place to respond to Information Risk?

Score: 8 Max: 10 Average: 8.1

E6 - Service continuity

(31) Is there an effective Business Continuity Management System in place?

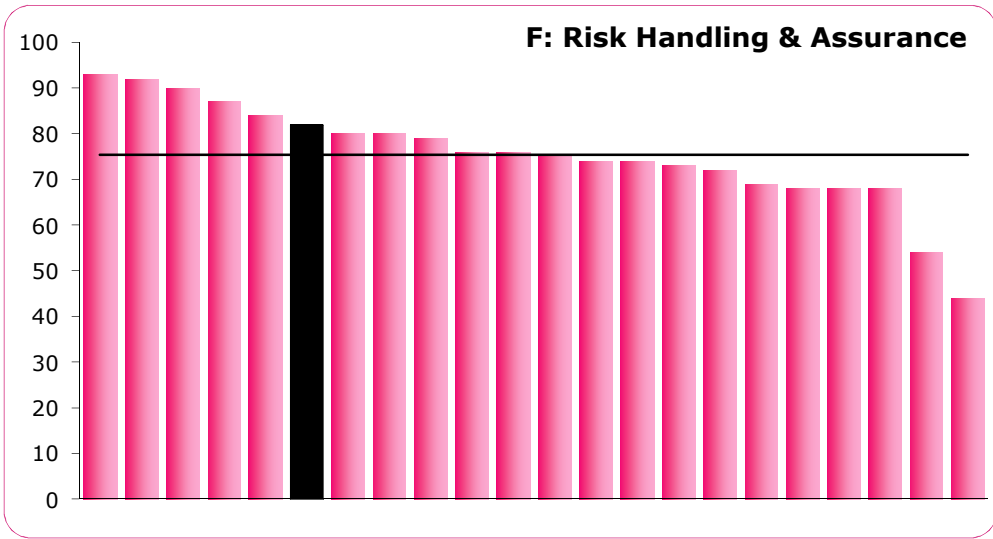
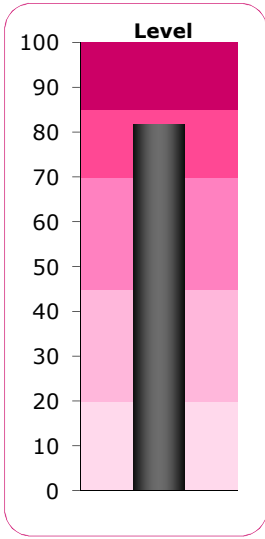
Score: 10 Max: 10 Average: 7.7

Section F: Risk Handling & Assurance

Are risks handled well and does the organisation have assurance that risk management is delivering successful outcomes and supporting creative risk taking?

<p>This section is concerned with:</p> <ul style="list-style-type: none"> • Successfully seizing opportunities • Considered risk-taking • Supporting innovation • Challenges to preconceptions of risk • Assurance of the organisation's level of compliance against the risk management strategy 	<p>The questions deal with:</p> <ul style="list-style-type: none"> • Risk handling • Assurance <p>For this section, you should have evidence to demonstrate the extent to which risk management-related activity has contributed to:</p> <ul style="list-style-type: none"> • Delivering innovation • Effective anticipation and management of strategic risks • Effective decision making 	<ul style="list-style-type: none"> • Effective policy making • Effective handling of cross-cutting issues • Effective review of business planning and target setting • Effective management of risks to the public • Effective risk allocation • Better management of risks to delivery • Greater efficiency/reduced costs • Information integrity and asset security
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Assessed Level: Embedded & Integrated



Score provided: 82 Average score: 75.4

Summary of Behavioural Progress toward Risk Handling & Assurance Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
No clear evidence that risk management is being effective.	Some evidence that risk management is being effective. ----- Performance monitoring and assurance reporting being developed.	Clear evidence that risk management is being effective in all key areas. ----- Capability assessed within a formal assurance framework and against best practice standards.	Evidence that risk management is being effective and useful for the organisation and producing clear benefits. ----- Evidence of innovative risk taking.	Clear evidence that risks are being effectively managed throughout the organisation. ----- Considered risk taking is part of the organisational culture.

Risk Handling & Assurance

F - Risk Handling & Assurance

Score provided: 82
 Maximum score: 100
 Average score: 75.4

F1 - Risk handling

Score provided: 48
 Maximum score: 60
 Average score: 41.5

F2 - Assurance

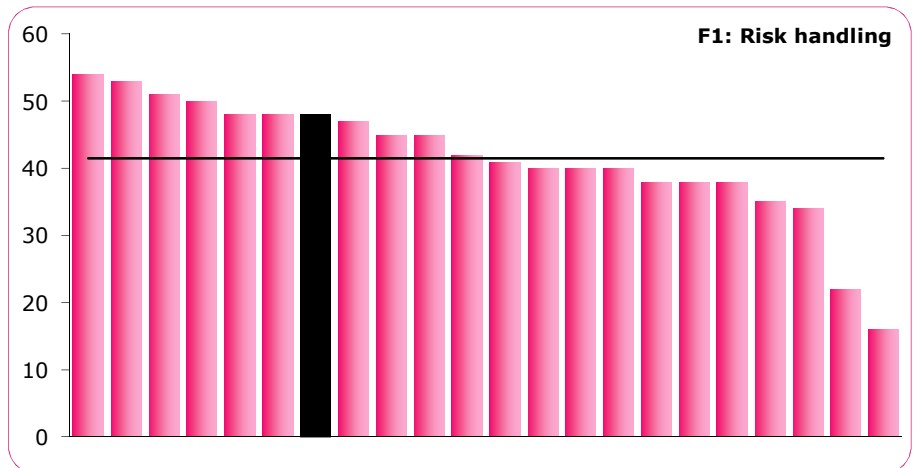
Score provided: 34
 Maximum score: 40
 Average score: 33.9

F1 - Risk handling

This subsection questions the extent to which risks are effectively handled across the organisation, particularly in terms of cost effectiveness and including arrangements with partner organisations.

Number of questions: 3

Score provided: 48
 Maximum score: 60
 Average score: 41.5

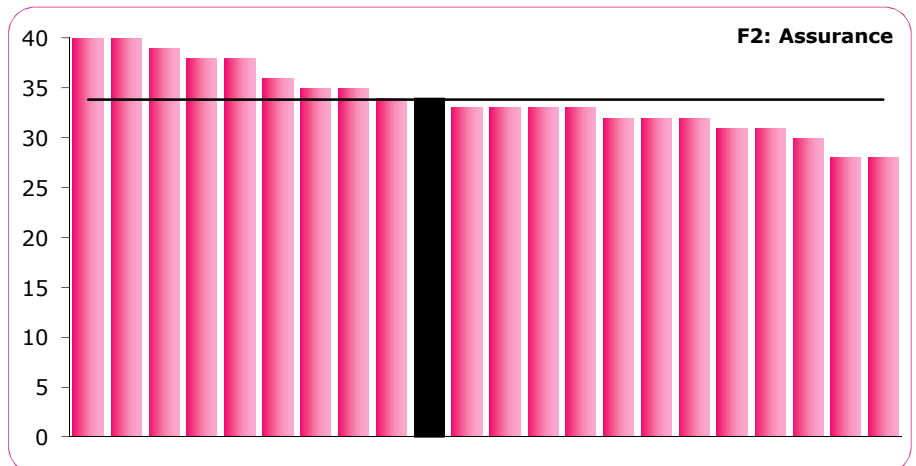


F2 - Assurance

This subsection explores the arrangements that the organisation has in place to ensure that it can provide itself with assurance that risks are well managed.

Number of questions: 3

Score provided: 34
 Maximum score: 40
 Average score: 33.9



Risk Handling & Assurance: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

F1 - Risk handling

(32) Has the organisation established arrangements for escalation of risks to ensure that it and Board Members / Elected Members, Trustees, Ministers etc. have appropriate, up-to-date information on risks?

Score: 10 Max: 10 Average: 8.5

(33) Can you evidence that all strategic risks are managed effectively - without incurring disproportionate risk management costs or experiencing excessive losses? Are there arrangements to ensure that opportunities are taken and managed cost effectively - without incurring disproportionate risk management costs or experiencing excessive losses?

Score: 25 Max: 30 Average: 19.0

(34) Is there evidence that staff, particularly managers, are confident with risk and use it to deliver the outcomes the organisation wants?

Score: 13 Max: 20 Average: 14.0

F2 - Assurance

(35) To what extent does assurance information cover all significant risks, key controls and their effectiveness?

Score: 14 Max: 20 Average: 16.4

(36) Is an assessment of the performance of the organisation's risk management arrangements reported and to what extent is risk information disclosed to stakeholders?

Score: 10 Max: 10 Average: 8.2

(37) Is there a detailed statement, that is independently reviewed, about whether risk management is effective and carried out as approved, and is the framework regularly and independently reviewed?

Score: 10 Max: 10 Average: 9.3

Section G: Outcomes & Delivery

Does risk management contribute to achieving outcomes?

This section is concerned with:

- Risk management efforts making a contribution to successful outcomes
- Learning from best practice and continuous improvement

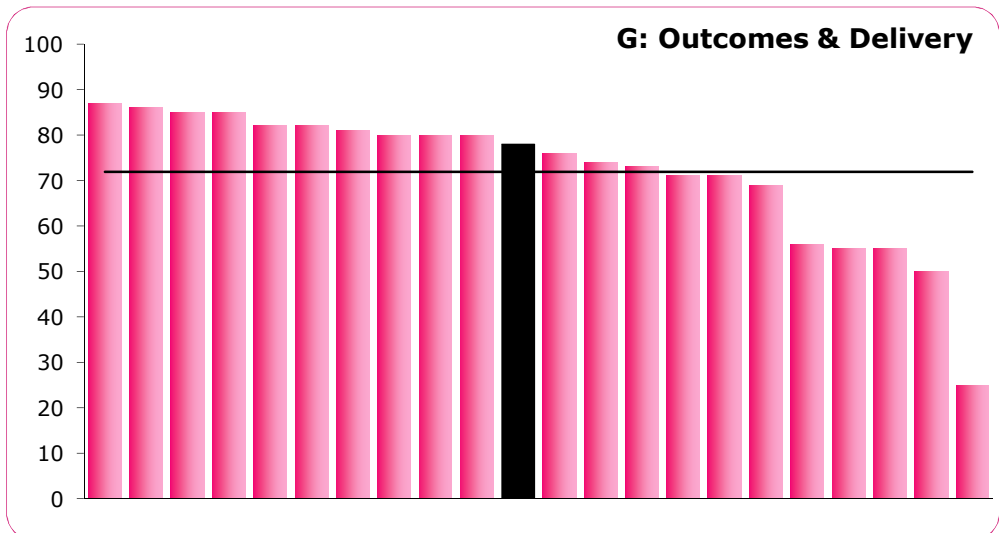
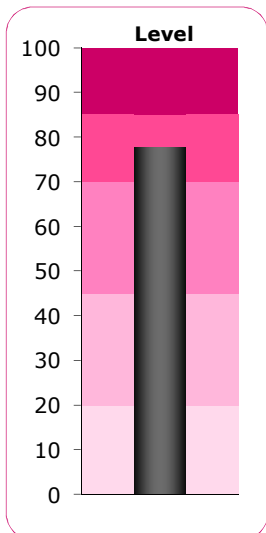
The questions deal with:

- Risk management contribution to overall performance
- Risk management contribution to specific outcomes

In this section you should have evidence to demonstrate the extent to which risk management action contributes to:

- Successful delivery of improved outcomes for local people/the community
- Meeting planned financial outcomes
- Increased public confidence that risks are well-managed
- The high reputation of the organisation
- Successful innovation

Assessed Level: Embedded & Integrated



Score provided: 78 Average score: 71.9

Summary of Behavioural Progress toward Outcomes & Delivery Maturity

Level 1 Awareness	Level 2 Happening	Level 3 Working	Level 4 Embedded & Integrated	Level 5 Driving
No clear evidence of improved outcomes.	Limited evidence that risk management is being effective in, at least, the most relevant areas.	Clear evidence that risk management is supporting the delivery of key outcomes in all relevant areas.	Clear evidence of significantly improved delivery of relevant outcomes and evidence of positive and sustained improvement.	Risk management arrangements clearly acting as a driver for change and linked to plans and planning cycles.

Outcomes & Delivery

G - Outcomes & Delivery

Score provided: 78
 Maximum score: 100
 Average score: 71.9

G1 - Risk management contribution to overall performance

Score provided: 48
 Maximum score: 60
 Average score: 42.6

G2 - Contribution to specific outcomes

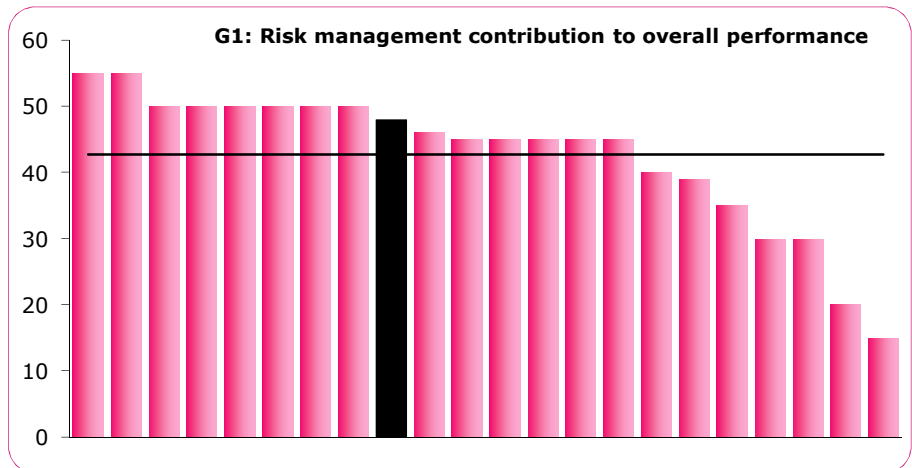
Score provided: 30
 Maximum score: 40
 Average score: 29.2

G1 - Risk management contribution to overall performance

This subsection measures the extent to which the organisation can demonstrate that its risk management arrangements are making a positive contribution to overall performance and service delivery.

Number of questions: 1

Score provided: 48
 Maximum score: 60
 Average score: 42.6

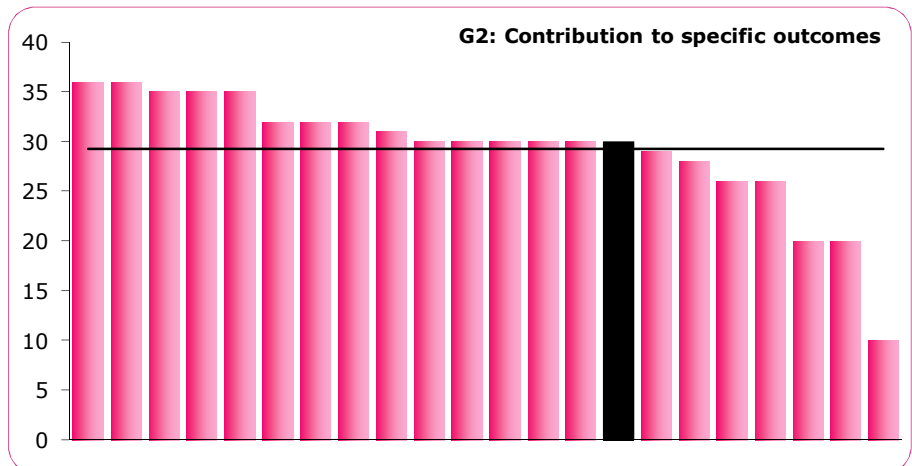


G2 - Contribution to specific outcomes

This subsection asks for evidence of examples of risk management arrangements having a direct positive effect on the delivery of annual or strategic objectives.

Number of questions: 1

Score provided: 30
 Maximum score: 40
 Average score: 29.2



Outcomes & Delivery: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

G1 - Risk management contribution to overall performance

(38) Is there demonstrable evidence that risk management is contributing to better:

- delivery outcomes
- better financial outcomes
- supporting the reputation of the organisation?

Score:	48	Max:	60	Average:	42.6
--------	----	------	----	----------	------

G2 - Contribution to specific outcomes

(39) Is there demonstrable evidence that risk management approaches are having a beneficial effect on how risks to the public are being managed?

Score:	30	Max:	40	Average:	29.2
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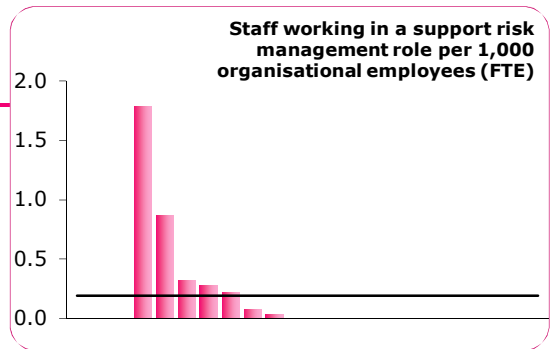
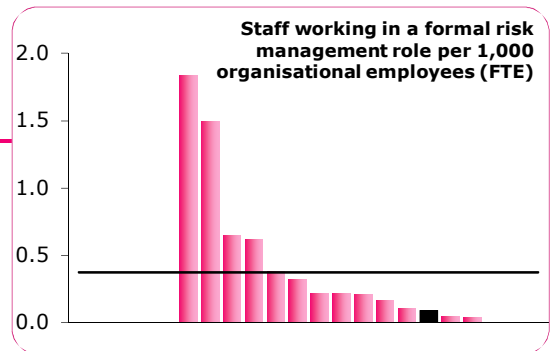
Section H: Resources

In the questionnaire we collected data relating to levels of staffing. As there is no common framework or definition of risk management work, and the quantity of work is relatively small it is not easy to produce like-for-like comparisons. Many authorities entered into the spirit and provided best estimates and we hope they find the analysis useful.

Please note, the figures will be available in the club database and members can review these figures along with the context supplied with the associated text questions.

We hope this analysis supplied here is of interest, however please treat this with common sense, it is not a VFM judgement and it is not good or bad to be at either end of the graphs.

Level of resourcing: Measured as FTE staff working on Risk Management per 1,000 Organisational Employees (FTE)



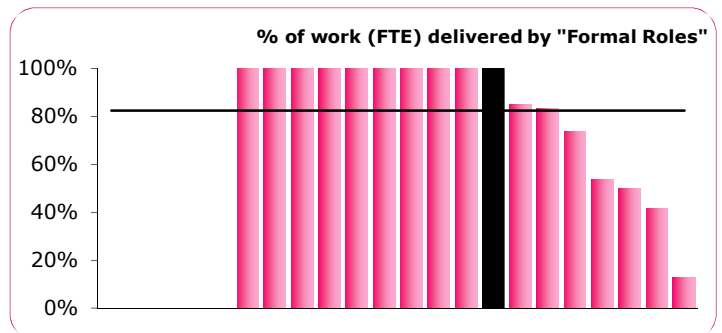
Employees Structure (FTE)	Number	Per 1,000 FTE	Average per 1000 FTE
Formal risk management role	1.20	0.09	0.38
Support risk management role	0.00	0.00	0.19
Staff involved in risk management	1.20	0.09	0.38

Formal Roles vs Support Roles

Formal Roles relate to staff working specifically for a Risk Management team / function.

Support roles relate to Risk Champions, Risk Committee Members and other people with specific risk roles.

Formal vs Support Roles (FTE)	Number
Formal risk management role	1.20
Staff involved in risk management	1.20
% of work delivered by "Formal Roles"	100%
Average	82%



Resources: Question details

- For further details on the questions (guidance and instructions) please see the questionnaire.

41 - Size of the organisation

(41) How many FTEs were on your organisation's payroll as at 31/03/2015?
(Please exclude school based staff if your organisation is an LEA).

Total: 13,000

42 C - Estimate of risk management resourcing (staffing)

(42c) Structure as at 01/04/2015



Totals	Head Count	FTE	Estimated Staff Cost (£'k)
Formal risk management role	2.0	1.2	£54 k
Support risk management role	0.0	0.0	£0 k
Staff involved in risk management	2.0	1.2	£54 k
Average			
Average	Head Count	FTE	Estimated Staff Cost (£'k)
Formal risk management role	1.9	1.2	£39 k
Support risk management role	4.2	0.5	£19 k
Staff involved in risk management	6.1	1.7	£58 k

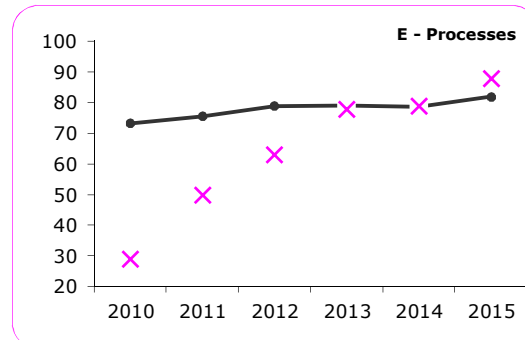
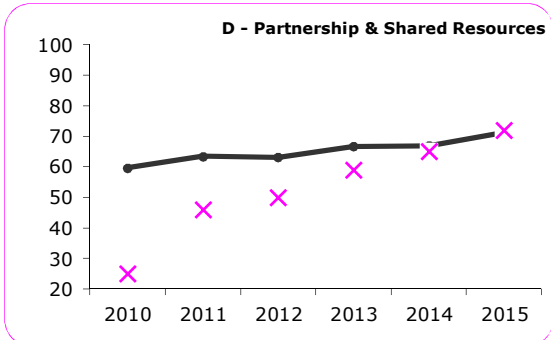
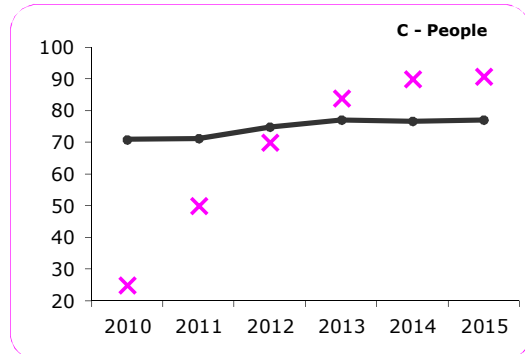
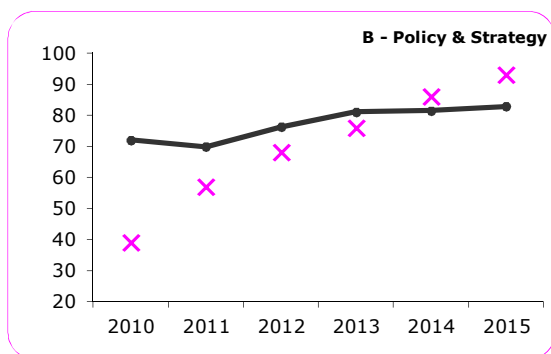
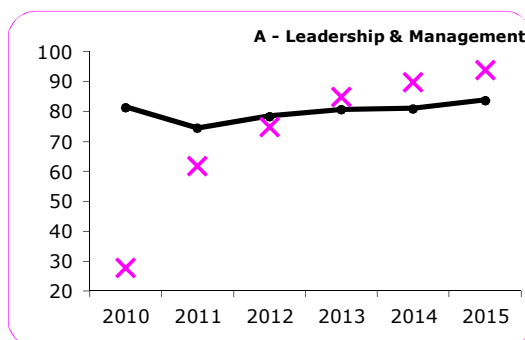
Section I: Timeseries Analysis

The 2014 averages are the actual club averages. For previous years, the averages shown here are scaled up or down from the 2014 figure based on the average rate of change in each year. This is calculated using data from members who supplied figures in consecutive years, otherwise the simple average in each year would be distorted by changes in the composition of the club from year to year.

Timeseries Analysis: Enablers



Timeseries Analysis: Enablers						
	2010	2011	2012	2013	2014	2015
A - Leadership & Management	28	62	75	85	90	94
<i>Average</i>	82	75	78	81	81	84
B - Policy & Strategy	39	57	68	76	86	93
<i>Average</i>	72	70	76	81	82	83
C - People	25	50	70	84	90	91
<i>Average</i>	71	71	75	77	77	77
D - Partnership & Shared Resources	25	46	50	59	65	72
<i>Average</i>	60	63	63	67	67	71
E - Processes	29	50	63	78	79	88
<i>Average</i>	73	76	79	79	79	82

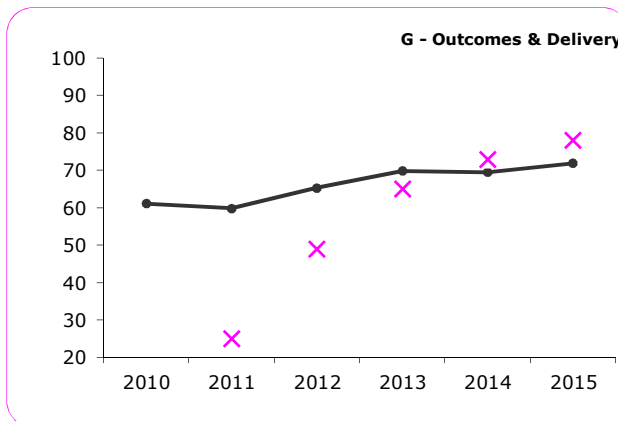
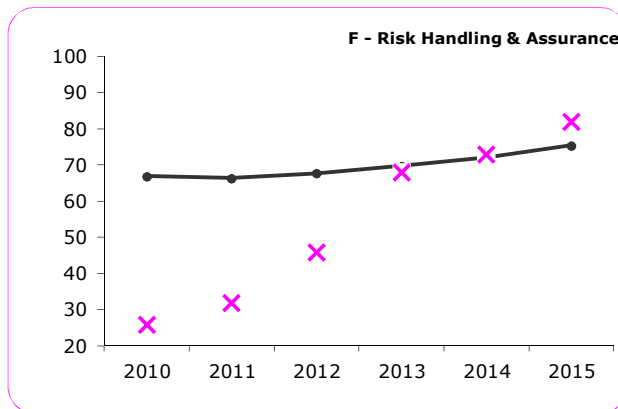
KEY:
 Club average
 Leicester



Timeseries Analysis: Results

Timeseries Analysis: Results						
	2010	2011	2012	2013	2014	2015
F - Risk Handling & Assurance	26	32	46	68	73	82
<i>Average</i>	67	66	68	70	72	75
G - Outcomes & Delivery	16	25	49	65	73	78
<i>Average</i>	61	60	65	70	69	72

KEY:
 Club average
 Leicester



Section J: Comparison to Previous Year

This page provides a quick comparison to the scores provided by your Organisation last year. The "Direction of Travel" is shown in the last column.

	Question Number	Maximum Score	Leicester		Direction of travel
			2014 Scores	2015 Scores	
Leadership & Management	1	10	10	10	=
	2	12	9	10	↑
	3	10	8	8	=
	4	12	12	12	=
	5	10	9	9	=
	6	10	8	9	↑
	7	12	12	12	=
	8	12	10	12	↑
	9	12	12	12	=
	Total	100	90	94	↑
Policy & Strategy	10	40	35	38	↑
	11	20	15	18	↑
	12	40	36	37	↑
	Total	100	86	93	↑
People	13	25	22	23	↑
	14	15	15	15	=
	15	5	4	4	=
	16	30	28	28	=
	17	5	5	5	=
	18	10	8	8	=
	19	10	8	8	=
Total	100	90	91	↑	
Partnerships & Resources	20	20	14	15	↑
	21	30	15	18	↑
	22	20	12	14	↑
	23	10	10	10	=
	24	20	14	15	↑
Total	100	65	72	↑	
Processes	25	35	Max score changed		↓
	26	30	24	26	↑
	27	2	2	2	=
	28	13	13	13	=
	29	5	4	4	=
	30	5	Max score changed		↓
	31	10	10	10	=
Total	100	53	55	↑	
Enablers Total		500	384	405	↑
Risk & Handling	32	10	10	10	=
	33	30	20	25	↑
	34	20	12	13	↑
	35	20	12	14	↑
	36	10	9	10	↑
	37	10	10	10	=
Total	100	73	82	↑	
Outcomes & Delivery	38	60	48	48	=
	39	40	25	30	↑
	Total	100	73	78	↑
Results Total		200	146	160	↑