



# Annual Awards 2009 Entry Form

Name of organisation Essex County Council

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Please tick the relevant box below to indicate which category you wish to enter

Risk Manager of the Year	<input checked="" type="checkbox"/>	People Risk	<input type="checkbox"/>	Asset Risk	<input type="checkbox"/>
Operational Risk	<input type="checkbox"/>	Strategic Risk	<input type="checkbox"/>	Risk Management Young Achiever of the Year	<input type="checkbox"/>

N.B. If you wish to enter more than one category, a separate entry form is required for each category.

Please type your executive summary here. The summary should be no more than 500 words. Please use Arial font, size 11, at 1.5 line spacing. Use additional spacing between paragraphs.

## Executive Summary

Essex County Council is the second largest English county authority; with a budget of over £1.5 billion spend yearly. It has around 40,000 plus staff working across diverse service areas and varied office locations to provide services for a population of over 1.35million residents.



Joachim's arrival at the Essex County Council marks beginning of an inspiring journey into making what is usually termed a dry subject into something meaningful, engaging and useful.

He has combined both his analytical skills (coming from "Actuarial" background) with refreshing and pleasant interpersonal skill to influence, persuade and motivate managers to act on risk initiatives.

His personal enthusiasm and commitment has been a significant inspiration for other managers to embrace the risk management process across the Council.

Some challenges he faced were:

- Ensuring that the new risk management framework is becoming embedded, applied consistently and is effective in minimising threats and maximising opportunities. Investing and Implementing a suitable risk management software that will enhance, strengthen and add value to the process and culture
- Ensuring that the Council maintain, sustain and advance the drive to make risk management a performance management and decision making tool, hence creating a reward culture for staff

He has not only transformed the Council's approach to risk management by making it relevant to the performance of managers and individuals, but also generating and sustaining interest in using risk management as a decision making tool to add value to decisions made in the public sector.

"Risk Management is an integral part of our business planning and we need to be smarter at recognising threats and identifying opportunities. In this way we can optimise the Council's chances of achieving its objectives and also maximise the potential for our business and our citizens" - Cllr David Finch (Cabinet Member for Finance and Property 2007)

**Please write your main submission here. The submission should be no more than 1500 words. Please use Arial font, size 11, at 1.5 line spacing. Use additional spacing between paragraphs.**

## **1. Roles & Responsibilities**

- Responsible for reviewing risks relating to the Council's entire revenue budget of £1.3 b together with capital spending, assets, and consideration of other risks not reflected in the accounts
  
- Work with team colleagues to ensure that risk management is integrated with performance management so that the council considers risk in its decision making around performance improvement.
  
- Develop good working relationships and communication with Service Directors and senior managers to ensure risk management becomes successfully embedded throughout the council, resulting in positive risks being taken as well as avoidance of negative risks.
  
- Improve the quality of risk and control data held by the council, including designing and maintaining a system to gather information about risk failures, near misses and opportunities available to the Council.
  
- Monitor, evaluate and challenge the risks and controls entered onto the council's risk register to ensure that the appropriate quality is adhered to

## **2. The Specific Challenges facing Essex County Council (2008)**

- Ensuring that the new risk management framework is becoming embedded; applied consistently and is effective in minimising threats and maximising opportunities.
  
- Ensuring that the Investment in a suitable risk management software enhances, and adds value to the Council's risk management process and culture

## **3. The strategies chosen to resolve these challenges and why**

- Created four new risk roles and trained of a group of risk professionals within each Directorate with necessary skills to quality assure the effectiveness of risk treatment actions and descriptions; to ensure consistency, cohesion and fostering co-operation and

collaboration within the Council.

- All Members and most staff were trained on how to identify, describe, evaluate and treat risks effectively. This was done to sell the benefits of using risk management as a decision making tool to drive the Council's Corporate Performance
  
- Designed and implemented a comprehensive risk communication strategy with our internal communications Department. This was to sustain the interest of managers in managing risk and keep the momentum stated by the Corporate Risk Unit thereby strengthening the culture of Risk Management.
  
- Introduced an annual Risk Management Awards for Managers and Teams within Essex County Council. This was done to reward those who have taken risk management seriously and implemented it with definite results, but also to motivate those who are cynical about the benefits of using risk management as a decision making tool.
  
- Ensure that we maintain, sustain and advance in our drive to making risk management a performance management and decision a making tool by creating a culture that rewards staff for effective management of risk

### 3. Evidence of Innovation

- Refreshed, resigned and publicised a new Risk Strategy, branded "Delivering EssexWorks" This revised approach highlighted opportunities alongside threats to raise awareness of Risk Management as a tool for managing performance. Therefore, whilst Local Government organisations have traditionally seen risk as adverse, Essex's new approach to Risk Management is seeking to encourage a culture shift so that risk is recognised as something that should be managed rather than avoided in order to support creativity and improve performance. *(This is evidenced in Essex County Council's approach to take over the running of Post Office Services locally, first of its kind in the UK) "*  
**[item 2].**



- Designed and implement an effective risk communication strategy which includes production of Essex Risk Management DVD & Essex Bath room campaigned (see attached) which got the attention of all our staff. Risk Posters were displayed electronically and on 7x4 foot banner stands in staff areas and public areas of all the Council's building. Within a week we had received individual feedback as well as praise from the Corporate Leadership Team and other cross-working groups. **[item 3]**,

- Procured and implemented Web based Risk Management Software called JCAD Risk, making the management of risk online, accessible to all staff via our intranet, constituent approach and effective. Every Staff can access their risk register online from their desk. Contractors and partners are given access via the Council's website to log threats and opportunities

- Established a tracker and monitoring processes to clamp down on non compliance with our risk management approach. We were able to use this to report to close gaps to the delivery of our priorities, used by our Finance Director (sections 151 officer), Internal Audit Team, Directors and other relevant senior colleagues to ensure effectiveness.

**[Item 4]**



- Introduced an annual risk management awards for managers and teams within Essex County Council. This was done to reward those who have taken risk management seriously and implemented it with definite results, but also to motivate those who are cynical about the benefits of using it as a decision making tool **[Item 5]**

- Introduced a client - customer relationship approach to support service delivery and embedding risk management culture further within the Council. This was done by employing three new risk advisors each responsible for at least three Directorate in the Council. It created a new culture of a friendly risk advisor assisting directors and their senior management team to use risk management as part of their decision making and performance management review.

- Designed and implemented an innovative risk based contract award and management tool kits **[Item 6]**
- Started “emerging risks” new update to all Managers; this is to identify & respond to the upcoming and current issues emanating from the society as it affects the Council. **[Item 7]**

#### 4. Evidence of Partnership Working

The Risk Manager has also engaged with a wide range of external organisations leading up to and following the production of the Council’s new Risk Strategy, find below a list of organisations we are working with:

- Providing Risk Management leadership and guidance to all Partners, and Districts Councils in Essex
- Worked as interim Risk Manager for Brentwood Council while still the Head of Risk Management in Essex County Council (knowledge and skills transfer initiative)
- Working with Essex Parish Council, facilitating risk training etc
- Essex Risk Managers Forum
- UK JCAD User Groups (Sharing & Learning best practice)
- Share best practice with the following organisations and councils: Hertfordshire County Council, Suffolk County Council, Camden Borough Council, Basildon Council, Corydon Borough Council, Essex Police and Fire Bridge, Anglia Ruskin University, Network Rail, A J Sainsbury Plc, Barclaycard Enterprise Risk Team, Zurich Municipal etc. **[item 8]**.

#### 5. Contribution towards Risk Management Activities (Professional Contributions)

- Joachim is a member of the board of directors of the **Institute of Risk Management (IRM)** and also a member of the **Institute of Actuaries**, Enterprise Risk Management Group. He was part of the team reviewing risk qualifications, examinations, membership benefits and training. He has made various contributions to the institute’s magazine and the CIR monthly journal. **[Item 9]**.
- He is an international speaker for IRM and actively participates in national and international events and conferences to share good practice and learn from innovation in other organisations. Joachim spoke at the following seminar/conferences: **[Item 10]**.

- a. CIPFA Better Governance Seminar – Opportunity Management
- b. Intellect Security and Resilience group meeting – Supply Chain & Enterprise Risk
- c. Various LGC, IIR and other international conferences ( Africa)

## 6. Other achievements/successes at Work (Using Risk Management Tool)

- Externalisation of Commercial Fleet. The outcome realised **£4.6m** revenue savings and **£1.9m** capital receipt. It also saved the cost of premises which are now for sale and expected to bring in a further **£1.68m**. **[item 11]**.
- Highly recommended Strategic Risk Management Award 2007, for the best approach in the public and the best risk communication in Europe at the Strategic Risk Management Award 2008 **[item 12]**.
- Implementation of a risk based e-contract and procurement methodologies, ensuring that major projects/contract are risk assessed before, during and after implementation **[item 13]**.
- Trained over 4,000 staff in-house to saving the Council cost of running risk management training and workshops approximately between **£85,000 and £95,000** in the last 22 months **[item 14]**
- Employed a dedicated Risk Advisor to implement integrated risk compliance systems to support Essex Children, Schools and Family Directorates in order to avoid the possible re –occurrence of a P Baby Incident in the County and other operational risk initiatives **[item 15]**
- Countywide risk management engagement from staff, positive feedback on the impact of our risk management training and the support is giving managers in managing projects and service delivery effectively. **[item 16]**
- Designed and implemented in house online risk perception questionnaire, in order to understand & determine the needs of our clients (staff) and possible ways of supporting them **[item 17]**
- Initiated workplace sport activities with the Director of Human Resources in order to minimise health risks and stress at work **[item 18]**

## Schedule of evidence

- Item 1:** Letter of Endorsement from the CEO
- Item 2:** The New Essex County Council Risk Strategy
- Item 3:** Evidence of effective risk communication
- Item 4:** Evidence of performance & risk tracker and monitoring processes
- Item 5:** Evidence of Essex annual lecture and award ceremony
- Item 6:** Evidence of a innovative risk based contractor appraisal tools
- Item 7:** Copy of Emergent Risk News Mail and it process
- Item 8:** Evidence of various Partnership working
- Item 9:** Evidence of articles and professional contribution made in magazines
- Item 10:** Evidence of all papers delivered at various conferences
- Item 11:** Evidence of the application of RM in a major project resulting in savings
- Item 12:** Evidence of European Strategic Awards
- Item 13:** Evidence of a risk based e-contract and procurement methodologies
- Item 14:** Evidence of effective risk management with noticeable results in the Council
- Item 15:** Evidence of various operational risk initiatives
- Item 16:** Evidence positive feedback from Managers using RM Tools
- Item 17:** Evidence of implementing online risk perception questionnaire
- Item 18:** Evidence of workplace progamme