|  | ROLE | RESPONSIBILTIIES | KPIs |
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| ENTERPRISE RISK MANAGER | Owns the organisation’s Risk & Compliance framework. This is a leadership rather than active role | * Ensure a Risk Management Framework is in place and operating effectively
* Chair the Risk & Compliance Forums
* Empower Risk Portfolio Managers
 | * Attend all Risk & Compliance Forums
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| RISK COORDINATOR(also fulfils [Risk Portfolio Manager](#RiskManager) responsibilities) | Coordinates the organisation’s Risk & Compliance activities | * Manage the organisation’s Risk Management Framework and how this is supported by the Promapp Risk & Compliance Module
* Liaise with and provide guidance to Risk Portfolio Managers
* Develop and deliver Risk & Compliance Training courses as part of Induction & for Business as Usual training
* Schedule, attend and coordinate other Risk Managers attendance and minute Risk & Compliance Forums
 | * Recognised as first point of contact for any queries Risk Portfolio Managers have
* All staff are trained on how to view Promapp Risk & Compliance items (if appropriate)
* All Risk Portfolio Managers are trained on how to:
	+ create and edit Risk & Compliance items & treatments
	+ approve (or decline) changes to treatments
	+ monitor periodic sign-off of Risk & Compliance items and sign-off, where required, via the My Risks Dashboard
* Regular Risk & Compliance Forums have been held, were attended and were minuted
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| RISK PORTFOLIO MANAGER(S) | Manages their respective Risk Portfolio and ensures Risk & Compliance registers are complete, accurate and current and that appropriate treatments are identified, operational and effective | * Maintain the Risk & Compliance Register within their Risk Portfolio to ensure all risks are identified, accurately described and accurately scored
* Assign Risk Owners to Risk & Compliance items within their Risk Portfolio, as required
* Ensure all Risk & Compliance items within their Risk Portfolio have treatments that manage the risk effectively
* Address any treatments that are overdue or have been marked as non-compliance *(if no Risk Owner exists)*
* Conduct an impact assessment for any treatment changes and approve / decline the change *(if no Risk Owner exists)*
* Attend all Risk & Compliance Forums
 | * Risk Register(s) is reviewed & updated at least quarterly
* Risk & Compliance treatments are reviewed and updated at least quarterly
* Overdue or non-compliant sign offs for their Risk Portfolio are addressed *(if no Risk Owner exists)*
* Treatment changes are approved/declined within 10 working days of request *(if no Risk Owner exists)*
* Attend all Risk & Compliance Forums
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| \*RISK PORTFOLIO EDITORS assist Risk Portfolio Managers to edit or change Risk & Compliance details within their specific Risk Manager’s Portfolio |
| RISK OWNER(S) | Owns and manages risks that have been assigned to them by Risk Portfolio Manager | * Assist Risk Portfolio Managers to identify treatments in relation to the Risk & Compliance items they own
* Periodic sign off to confirm existing treatments are operational and effective
* Conduct an impact assessment for any treatment changes and approve / decline the change
* Address any treatments that are overdue or have been marked as non-compliance
* Assist Risk Portfolio Managers to ensure all relevant Risk items are identified
 | * Risk & Compliance treatments for the Risk & Compliance items they own are reviewed and updated at least quarterly
* Overdue or non-compliant sign offs for their Risk items are addressed
* Treatment changes are approved/declined within 10 working days of request
* Attend all Risk & Compliance Forums *(optional)*
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| TREATMENT SIGN-OFF STAKEHOLDER(S) | Responsible for actioning the treatment assigned to them that has been determined to mitigate an identified risk and is expected to sign-off to confirm that the treatment is being carried out | * Periodically sign-off to confirm that Risk & Compliance treatments are in place and are operational and effective *(sign-off timeframe is dependent on the risk)*
* Identify new Risk & Compliance items and treatments *(as with all staff)*
 | * No treatment sign-offs become overdue
* At least one new Risk & Compliance item or treatment identified in period *(optional)*
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| USERS(These users may also be **Risk Portfolio Viewers** for selected Risk Portfolios) | All users of Promapp  | * Follow documented process steps/tasks when carrying out work to ensure Risk & Compliance items are managed
* Provide feedback on Risk & Compliance items/treatments as things change
 | * All work is carried out in accordance with documented process information
* At least one new Risk & Compliance item or treatment identified in period *(optional)*
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