|  | 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 |
| 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 |
| 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 |
| \*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)* |
| 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)* |
| 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)* |