

NORTH YORKSHIRE COUNTY COUNCIL

AUDIT COMMITTEE

30 September 2009

RISK MANAGEMENT – PROGRESS REPORT

Report of the Corporate Director – Finance and Central Services

1.0 PURPOSE OF THE REPORT

- 1.1 To consider an updated Corporate Risk Management Policy and Strategy.
- 1.2 To receive details of the updated Corporate Risk Register.
- 1.3 To consider progress made on Risk Management Matters.

2.0 BACKGROUND

2.1 According to the Terms of Reference of the Audit Committee, its role in risk management is:

- (i) to assess the effectiveness of the authority's risk management arrangements and
- (ii) to review progress on the implementation of risk management throughout the authority.

2.2 In order to fulfill this role, regular reports to this Committee cover the implementation of the Policy/Strategy as well as other related risk management matters.

3.0 CORPORATE RISK MANAGEMENT POLICY AND STRATEGY

3.1 The County Council formally adopted a revised Corporate Risk Management Policy and Strategy on 19 December 2007 with a provision that it will be reviewed and updated every two years.

3.2 In accordance with the above, the current Risk Management Policy and Strategy have now been reviewed.

3.3 The Policy has been amended to reflect the revised corporate objectives, otherwise it remains unchanged and continues to express fundamentals such as the Policy's aims and objectives.

3.4 The Strategy identifies what is required to implement and achieve the Policy. This document has been substantially amended taking into account the following:

- ➔ extra requirements from the recently published British Standard, BS31100 (Risk Management Code of Practice)
- ➔ links to other relevant policies, strategies and processes within the County Council
- ➔ best risk management strategies in other local authorities
- ➔ changes in terminology such as the Statement of Internal Control is now known as the Annual Governance Statement
- ➔ extra requirements from recent legislation and best practice guidance relating to risk management compliance such as Accounts and Audit (Amendments) Regulations 2006 and Delivering Good Governance in local Government 2007

3.5 The revised Policy and Strategy is attached as **Appendix A**.

3.6 The Committee is asked to consider the updated Corporate Risk Management Policy and accompanying Strategy prior to its submission to the Executive for ultimate approval by the County Council.

4.0 **RISK MANAGEMENT ACTION PLAN**

4.1 A revised Risk Management Strategy would normally be accompanied by an updated and detailed 2 year Action Plan. Because such a Plan will need to take into account detailed new requirements arising from the recent publication BS31100 (Risk Management Code of Practice) it is still “work in progress”.

4.2 An updated Risk Management Action Plan will therefore be submitted to the next meeting of the Audit Committee that considers risk management matters (ie April 2010). In the meantime officers will be working to implement the issues identified in the Plan.

5.0 **CORPORATE RISK REGISTER**

5.1 The Corporate Risk Register is fully reviewed every year and updated by the Chief Executive, Assistant Chief Executives and Corporate Directors in August / September.

5.2 A copy of the latest version is attached at **Appendix B**. Certain risks are perpetual so will recur on the Register (eg ability to respond to a public emergency such as a major flood). Others relate to specific service issues (eg Waste Strategy).

5.3 Based on the latest assessment the risks in the Register are those ranked most highly because if any of them did materialise, they would almost certainly have a major impact on the County Council and its ability to deliver services effectively.

5.4 To assist Members interpret **Appendix B**

- ➔ Risks are identified by Management Board during a preparation meeting and workshop

- ➔ Each risk has then to be ranked based on the following:
 - existing risk controls in place
 - probability of the risk occurring (based on existing controls)
 - impact of the risk occurring (based on existing controls)
 - further risk controls which may reduce current probability or impact
- ➔ The prioritisation system follows a fairly traditional risk evaluation approach in that the **probability** and **severity** of risks is measured using a High/Medium/Low/Nil categorisation
- ➔ However, to facilitate the assessment of the severity of each risk this is done in relation to 4 distinct **impact areas**. Each level within the County Council ie. Service Units, Directorates and Corporate will rank the risks against their own 'risk benchmark' (known as a Risk Classification Table) which reflects their key objectives and uses familiar performance measurements where possible. The impact of risks is then assessed in terms of:
 - Obj = failure to meet key objectives and standards – reflecting current service plans
 - Fin = Financial impact – reflecting current budgets
 - Serv = delays in service delivery – reflecting current service indicators
 - Rep = loss of image or reputation – reflecting key image indicators

As each risk is ranked with reference to current controls and then future controls, the risk prioritisation system can compute a "score" in the range of 1 to 5

- 1 and 2 being a 'red' risk
- 3 and 4 being an 'amber' risk and
- 5 being a 'green' risk

6.0 CORPORATE RISK MANAGEMENT GROUP

- 6.1 The Corporate Risk Management Group (CRMG) meets 6 times a year although one of these dates is reserved for the corporate Risk Management Conference. (see **paragraph 7** for more details). Notes of the meetings held on 18 May 2009 and 20 July 2009 are attached at **Appendices C and D** respectively. Attachments to these reports have not been provided but if there are any particular topics where more detail is required, then this can be provided on request.
- 6.2 The meeting on the 18 May 2009 looked at specific issues such as risk management training, terms of reference and the implications of the latest British Standard guidance BS31100 (called Risk Management Code of Practice). There were also updates from Working Group Leaders on Personal Safety including VoiceConnect and Information Governance.

6.3 The meeting on the 20 July 2009 looked at the Action Plans and risk registers for Adult and Community Services and Children and Young People's Service. The Group was also provided with an update from Working Group Leaders on issues such as food hygiene/safety risk management, health and safety risk management and service continuity.

6.4 As explained previously the role of the CRMG is a combination of :

- ➔ sharing best practice and awareness of risk issues across the County Council
- ➔ identifying new areas of risk, especially those that affect more than one Directorate
- ➔ managing the work of the various task and finish groups that actually do most of the developmental work on risk identification via their risk specific action plans

7.0 RISK MANAGEMENT CONFERENCE XI

7.1 The eleventh risk management conference for the County Council will take place at the Pavilions of Harrogate on 5 November 2009. A draft programme for the day can be seen at **Appendix E**. It is anticipated that the morning's sessions will include topics such as Comprehensive Area Assessment and Information Governance. The afternoon session should be particularly interesting as the presenter is an ex professional poker player who will give his perspective on risk-taking and decision-making in business.

7.2 The annual awards for best risk management initiatives are also included within the programme and these will be presented by the Chairman of the County Council.

7.3 Provided swine flu does not disrupt events, it is anticipated that there will be approximately 150 delegates attending from across the County Council. All Members of the Committee are invited to attend the Conference. Please contact the author of the report to register.

8.0 ANNUAL INSURANCE RENEWALS

8.1 The annual insurance renewals for the County Council take place on the 1 October. The next full tender process is scheduled for 2011. The three main categories of insurance that are considered are Liability, Motor and Property.

8.2 Due to the continuing combination of proactive risk management and relatively stable claims experience, it is anticipated that the necessary cover will be renewed with no increase in rates and so the only factors that may inflate the premiums are the increase in gross wages and number of vehicles. The other factor is property values and as property values have fallen, this premium should decrease.

8.3 As the annual renewal process is still ongoing at the time of drafting this report further, and latest, details will be reported at the meeting.

9.0 SERVICE CONTINUITY

9.1 Work continues on a range of service continuity issues. In particular officers are

- ➔ drafting the first comprehensive Corporate Service Continuity Policy and Strategy
- ➔ undertaking impact assessments at Service Unit level
- ➔ developing responses on generic issues (eg property, IT)
- ➔ making preparations for Swine Flu (including procedures for collecting data re staff absences, detailed response plans at Service Unit / office level as appropriate, escalation procedures etc).

9.2 For understandable reasons the recent priority has been the work on swine flu; therefore progress on the other areas referred to above will be reported to the Committee in due course.

10.0 RECOMMENDATIONS

10.1 That the Committee:

- (i) recommends the updated Corporate Risk Management Policy and Strategy (**Appendix A**) to the Executive for approval by the County Council
- (ii) considers the Corporate Risk Register (**Appendix B**)
- (iii) notes the update on risk management matters
- (iv) raises any other issues of risk that may be of current concern

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25 September 2009

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Background documents

None

NORTH YORKSHIRE COUNTY COUNCIL

**CORPORATE RISK MANAGEMENT
POLICY AND STRATEGY**

“Striving for excellence in risk management”

September 2009

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PART A - CORPORATE RISK MANAGEMENT POLICY STATEMENT

1.1 Introduction

The vision of the County Council is that “North Yorkshire is a place of equal opportunity where all can develop their full potential, participate in a flourishing economy, live and thrive in secure communities, see their high quality environment and cultural assets maintained and enhanced, and receive effective support when they need it”. To this end, the six corporate objectives are:

- ➔ to ensure **good access for all**
- ➔ to help people to **live in safe communities**
- ➔ to help all **children and young people to develop their full potential**
- ➔ to promote a **flourishing economy**
- ➔ to maintain and enhance our **environment and heritage**, and
- ➔ to improve **health and wellbeing** and give people **effective support** when they need it.

Risk, uncertainty and change create a challenging dynamic as the County Council strives to meet these objectives. Risks, whether recognised or unforeseen, create a threat to achieving performance targets; this may result, for example, in delays to service delivery or reductions in service quality. Uncertainty and change, when considered thoroughly however, can also provide the opportunity to introduce new, innovative and effective ways of delivering services and act as the catalyst for developing services with better outcomes and fewer risks for our staff and our local communities.

Risk Management is integral to all aspects of our service delivery as well as the management of all our staff, physical assets and financial resources. As such it is reflected in all Council policies and Service Plans where appropriate.

This Risk Management Policy has been developed jointly by the Management Board, the Leader of the Council and the Executive.

Implementation of this Risk Management Policy and associated management systems contributes to improving our corporate and best value performance.

1.2 Guiding Principles

To achieve continuous improvement in our risk management arrangements we have adopted four guiding principles:

- Control** – Management are responsible for the clear allocation of risk management responsibilities and for monitoring that these responsibilities are implemented
- Co-operation** – there is a collective responsibility to co-operate as individuals and as groups to make risk management work for the benefit of the organisation

Communication – communication of risk management information within the organisation is essential and can always be improved

Competence – developing the risk management competence of Members, all categories of staff, volunteers, partners and contractors is at the heart of successful risk management

These guiding principles are interrelated and interdependent so that consistent activity in each area is needed to promote a climate in which a proactive risk management culture can develop.

1.3 Corporate Risk Management Policy

Definition of Risk and Enterprise Risk Management

Risk is the chance or possibility of loss, damage, injury or failure to achieve objectives caused by an unwanted or uncertain action or event.

Enterprise Risk Management is the approach to managing all of the County Council's key business risks and opportunities with the intent of maximising stakeholder value.

Policy Aims

To be an organisation that recognises it has a responsibility to manage risks effectively in order to control its assets and liabilities, protect its employees and community against potential losses, minimise uncertainty in achieving its goals and objectives and maximise the opportunities to achieve its vision.

To also be aware that some risks can never be eliminated fully but to have in place a Risk Management Strategy that provides a structured, systematic and focused approach to managing risk.

To ensure Risk Management is an integral part of the County Council's corporate governance arrangements and is built into the management processes as part of the organisation's overall framework to deliver continuous improvement in service delivery.

Policy Objectives

The objectives of this Risk Management Policy are to:

- ➔ continue to embed risk management into the culture of the County Council
- ➔ manage risk in accordance with best practice
- ➔ anticipate and respond to changing social, environmental and legislative requirements
- ➔ minimise loss, disruption, damage and injury and reduce the cost of risk, thereby maximising resources
- ➔ inform policy and operational decisions by identifying risks and their likely impact

- ➔ raise awareness of the need for risk management by all those involved with the delivery of County Council services
- ➔ establishing clear roles, responsibilities and reporting lines for risk management throughout the County Council
- ➔ providing opportunities for shared learning on risk management across the County Council
- ➔ providing risk management training and awareness sessions
- ➔ incorporating risk management considerations into the County Council's management processes (eg business planning, project management, service reviews) and decision making (eg Committee reports)
- ➔ effective communication with, and the active involvement of, staff
- ➔ monitoring arrangements on an on-going basis
- ➔ operating a Corporate Risk Management Group, led by a Corporate Director, that will be proactive in implementing and developing all the above.

Responsibility for Risk Management

The County Council recognises and accepts that it is the responsibility of all Members and staff to have regard for risk in carrying out their duties. If uncontrolled, risk can result in a drain on resources that could better be directed to front line service provision, and to the meeting of the County Council objectives and community needs.

The Chief Executive, Corporate Directors, Service Heads and all line managers have the responsibility and accountability for managing the risks within their own work areas. All staff have a duty to work safely, avoid unnecessary waste of resources and contribute to risk management initiatives in their own area of activities. The co-operation and commitment of all staff is required to ensure that County Council resources are not squandered as a result of uncontrolled risk.

This Policy has the full support of the Council which recognises that any reduction in injury, illness, loss or damage ultimately benefits the whole community of North Yorkshire.

PART B - CORPORATE RISK MANAGEMENT STRATEGY

1.0 INTRODUCTION

What is Risk Management?

- 1.1 **Risk** is the chance or possibility of loss, damage, injury or failure to achieve objectives caused by an unwanted or uncertain action or event.
- 1.2 **Enterprise Risk Management** is the approach to managing all of the County Council's key business risks and opportunities with the intent of maximising stakeholder value. It is a means of minimising the costs and disruption to the County Council caused by undesired events. The aim therefore is to reduce the frequency of risk events occurring, wherever possible, and minimise the severity of their consequences if they do occur.
- 1.3 Risk management covers the whole spectrum of risks and not just those associated with readily identifiable areas such as finance, health and safety and insurance. It also includes risks associated with public image (reputation), people, assets, information, the environment, etc.
- 1.4 Risk Management is not about being 'risk averse' – it is about being 'risk aware'. Risk is ever present and some amount of risk-taking is inevitable if the County Council is to achieve its objectives. Risk Management is about making the most of opportunities and about achieving objectives once those decisions are made. By being 'risk aware' the County Council is in a better position to avoid threats and take advantage of opportunities.
- 1.5 Risk management is an essential component of the governance arrangements in any large organisation. The County Council also has a statutory responsibility to have in place arrangements for managing risks, as stated in the Accounts and Audit Regulations 2003, incorporating Accounts and Audit (Amendments) Regulations 2006:-

"The Authority has robust systems and processes in place for the identification and management of strategic and operational risk.", and

"The Authority has robust system of internal control which includes systems and procedures to mitigate principal risks."

The Principles of Risk Management

- 1.6 As stated in the latest British Standard on Risk Management (BS31100), risk management should be part of the County Council's overall approach to governance. Thus within the County Council Risk management (RM) practices should be based on the following principles:
- ➔ RM should be tailored to reflect the contemporary situation
 - ➔ RM should take into account organisational culture, human factors and behaviour

- RM should be systematic and structured
- RM should operate under a common language
- RM should be based on the best available information
- RM should explicitly address uncertainty
- RM should be part of decision making
- RM should protect everything of value
- RM should be transparent and inclusive
- RM should be dynamic, iterative and responsive to change

The way in which these principles are applied should be subject to regular review to reflect changes in the County Council's nature and context.

The Benefits of Risk Management

1.7 Effective risk management will deliver a number of tangible and intangible benefits to individual services and to the County Council as a whole, for example:-

→ improved strategic management

- greater ability to deliver against objectives and targets
- more informed policy making
- transparent decision making subject to effective scrutiny and risk assessment

→ improved operational management

- reduction in interruptions to service delivery
- reduction in management time spent dealing with the consequences of a risk event having occurred
- improved health and safety of those employed, and those affected, by the County Council's undertakings.

→ improved financial management

- better informed financial decision-making
- enhanced financial control
- reduction in the financial costs associated with losses due to service interruptions, litigation, etc
- reduce, or maintain constant levels of, insurance premiums

→ **improved customer service**

- minimal service disruption to customers and a positive external image as a result of all of the above.

2.0 **AIMS AND OBJECTIVES**

2.1 The aims of risk management are to:-

- contribute to attainment of the County Council's vision for the communities it serves
- protect service delivery and its quality
- protect the reputation and image of the County Council
- secure the County Council's assets
- secure the funding of the County Council
- secure the well-being of staff and users of services
- ensure the integrity and resilience of information systems
- ensure probity and sound ethical conduct
- avoid criminal prosecution or civil litigation
- avoid financial loss through fraud or corruption

2.2 The objectives of the County Council's Risk Management Strategy are to:-

- **continue to embed** risk management into the culture of the County Council
- manage risk in accordance with best practice
- anticipate and respond to changing social, environmental and legislative requirements
- minimise loss, disruption, damage and injury and reduce the cost of risk, thereby maximising resources
- inform policy and operational decisions by identifying risks and their likely impact
- raise awareness of the need for risk management by all those involved with the delivery of County Council services.

2.3 These objectives will be achieved by:-

- establishing clear roles, responsibilities and reporting lines for risk management throughout the County Council
- providing opportunities for shared learning on risk management across the County Council
- providing risk management training and awareness sessions

- ➔ incorporating risk management considerations into the County Council's management processes (eg business planning, project management, service reviews) and decision making (eg Committee reports)
- ➔ effective communication with, and the active involvement of, staff
- ➔ monitoring arrangements on an on-going basis
- ➔ operating a Corporate Risk Management Group, led by a Corporate Director, that will be proactive in implementing and developing all the above
- ➔ execute the Action Plan necessary to implement this Strategy.

3.0 ROLES AND RESPONSIBILITIES

3.1 In determining roles and responsibilities, consideration has been given to the need to ensure that risk management is embedded into both policy approval (Strategic) and service delivery (Operational) procedures.

3.2 The table below outlines the key roles within the County Council's risk management framework:-

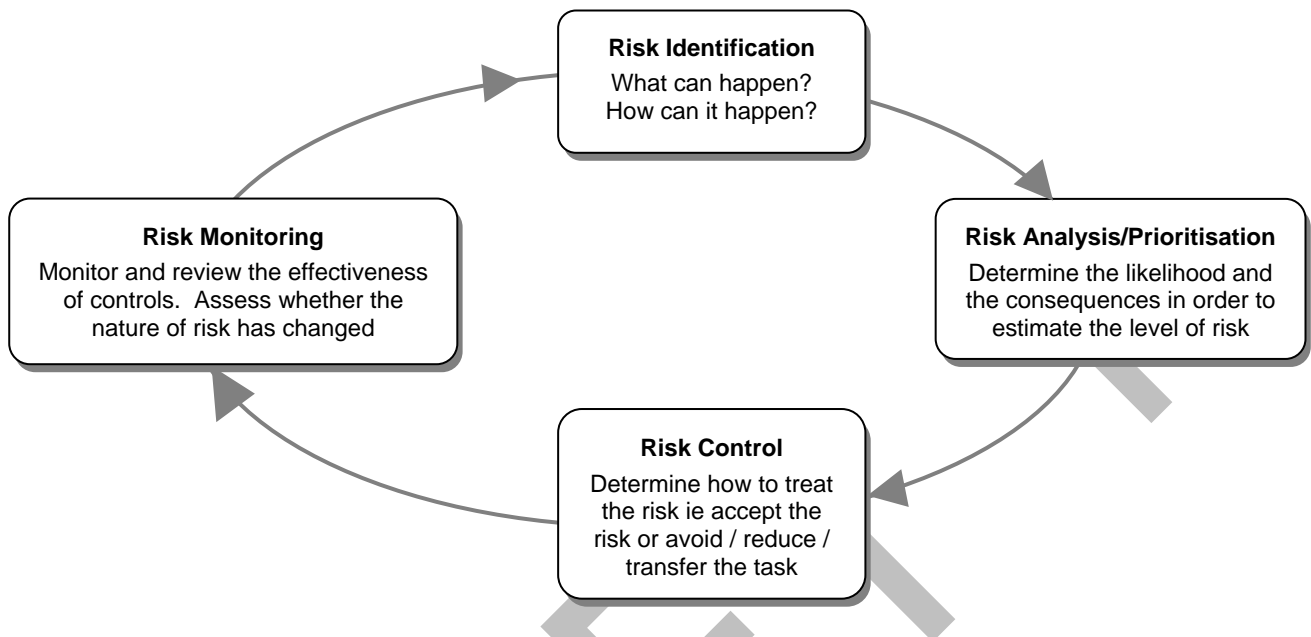
Category	Role
Elected Members	To oversee the effective management of risk by County Council officers and to take reasonable steps to consider the risks involved in the decisions taken by them
Audit Committee	To agree / endorse the Corporate Risk Management Strategy and monitor the implementation of risk management throughout the County Council.
Chief Executive and Corporate Directors (= Management Board)	To ensure that the County Council manages risk effectively through the development and implementation of a comprehensive Corporate Risk Management Strategy and its associated Action Plan.
Corporate Risk Management Group	To share experience and good practice on risk, management and implement the Strategy Action Plan across the County Council
Risk Management Service	To support the County Council and its services in the effective development, implementation and review of the Risk Management Strategy / Action Plan
Assistant Directors	To ensure that risk is managed effectively in each Service within the agreed corporate Strategy
Managers	To manage risks effectively in their particular service areas

Category	Role
Staff	To manage risk effectively in their job
Partners and Contractors	To comply, where appropriate, with the Risk Management Policy / Strategy and Procedures of the County Council

- 3.3 The detailed responsibilities associated with the roles in the table above are given at **Appendix 1**.
- 3.4 The same hazards and risks may face one or more services within the County Council eg asbestos, service continuity. Formal cross-service working will help to identify and manage these overlapping risks and this process will be facilitated through the Corporate Risk Management Group.
- 3.5 A **Corporate Risk Management Group** has been established to co-ordinate activities between services and comprises:-
- ➔ Corporate Director – Finance and Central Services (Chair)
 - ➔ Risk and Insurance Manager (Co-ordinator / Advisor)
 - ➔ Head of Health and Safety Risk Management
 - ➔ Directorate representatives
 - ➔ Lead Officers (at the time) of all ad hoc Working Groups
- 3.6 The Corporate Risk Management Group is responsible for:-
- ➔ advising and supporting the Management Board on risk strategies
 - ➔ identifying new areas of overlapping risk
 - ➔ driving forward new risk management initiatives
 - ➔ communicating risk management principles and developing good practice
 - ➔ providing and reviewing risk management training
 - ➔ regularly reviewing risk register(s) and overseeing the ongoing Risk Prioritisation System (RPS)
 - ➔ co-ordinating the information requirements for comprehensive risk reporting and monitoring
- 3.7 The pivotal role of the Corporate Risk Management Group in co-ordinating the day to day activities within the Risk Management process is demonstrated by the Organisational Pathways diagram attached as **Appendix 2**.

4.0 ARRANGEMENTS FOR MANAGING RISKS

4.1 To manage risks effectively, they need to be systematically identified, analysed, controlled and monitored. The 4 stages in the risk management cycle are illustrated in the diagram below:-



4.2 Across the County Council, use is made of a **Risk Prioritisation System (RPS)**, which is a web enabled risk management information system designed to manage the information produced during the Risk Management process. This software produces reports on the assessed risks at various managerial levels within the County Council.

4.3 ***Risk registers are produced at predefined levels within the County Council viz:***

- ➔ Corporate
- ➔ Directorate
- ➔ Service Unit / Service level

In addition the RPS methodology can be applied to individual projects, eg a major procurement or change management project.

4.4 Details of the risk management methodology to be employed in the County Council is available in a supplementary paper.

4.5 The County Council is aware that within the overall risk management framework detailed in this Strategy (and its accompanying Policy statement) there are well-defined areas of specific risk (eg Health and Safety, Service Continuity) that merit their own Policy Statements and Strategies. These associated Policies/Strategies, whilst addressing the particular issues involved, will adopt the same principles, and be compatible with, this over arching Corporate Risk Management Policy and Strategy.

5.0 MONITORING ARRANGEMENTS

5.1 Monitoring performance within the Risk Management framework is carried out at two levels:

- ➔ on the process itself
- ➔ in relation to the risks themselves

Overall Risk Management Process

5.2 Within its Corporate Governance framework, it is the formal policy of the County Council to actively monitor the risk management process. Under the auspices of the Audit Committee, the Corporate Governance Officer Group is actively involved in this process. **(See the Local Code of Corporate Governance for further details).**

5.3 The Internal Audit function formally assesses and monitors the effectiveness of the County Council's risk management arrangements and compares the documented approach with actual practice. This work forms part of the internal audit of risk management, as required by the Code of Internal Audit Practice 2003 and is reported to the Audit Committee via the Annual **Governance** Statement.

5.4 Risk Management arrangements are occasionally subject to inspection or review by various external bodies including:

- ➔ **CAA** Inspectors
- ➔ External Auditors, Ofsted or CQC
- ➔ Other local authorities, public bodies and private sector organisations via benchmarking forums

5.5 The Audit Committee monitors the implementation of the Risk Management Strategy via six-monthly reports submitted by the Corporate Director – Finance and Central Services.

5.6 The Corporate Director - Finance and Central Services reviews progress on risk management activities during monthly progress meetings with the Risk and Insurance Manager. He also liaises with Internal and External Audit on any risk related matters. The Insurance & Risk Management Section use various mechanisms to ensure the approach to managing risk is relevant and up-to-date, including benchmarking with peer authorities, attending seminars and conferences and review of best practice documentation.

5.7 Six monthly reviews are held with the County Council's insurance and risk management adviser, Marsh UK Ltd.

Corporate Risk Management Group

- 5.8 The Corporate Risk Management Group (CRMG) also performs an important corporate monitoring role for risk issues, through a planned schedule of progress reports from Directorate Risk Management representatives and Working Group leaders.
- 5.9 The organisational pathways diagram at **Appendix 2** shows the various linkages that operate to support the CRMG in undertaking this role.

Monitoring of Risk Registers

- 5.10 Risk Registers are monitored and assessed by the following groups in order to ensure all relevant risks are included, risk reduction measures are being implemented and risks are reducing as anticipated:
- ➔ for the Corporate Risk Register, the Corporate Risk Management Group, Management Board and Executive
 - ➔ for Directorate and Service Unit Risk Registers the relevant Management Team and Directorate Risk Management Group; the Audit Committee also receives progress reports on each Directorate's Risk Register
 - ➔ the Insurance & Risk Management Section
 - ➔ Internal Audit
 - ➔ Service Continuity Planning Team
 - ➔ Health and Safety Risk Management Unit
 - ➔ Head of Scrutiny and Corporate Performance

Review of Risk Registers

- 5.11 Within the process for reviewing and updating risk registers
- ➔ the Executive Portfolio Holder will review the relevant Directorate Risk Register with the appropriate Corporate Director.
 - ➔ the Executive and the Audit Committee will review the Corporate Risk Register.

The timetable for the review process is shown in the Risk Management Schematic Plan – see **Appendix 3**.

Monitoring the effectiveness of risk controls implemented

- 5.12 Various methods are used within Directorates and across the County Council to monitor the effectiveness of risk controls in place, including:

- programme of Internal Audit reports
- the work of external audit
- performance indicators
- Management Team review at RPS Workshops
- overspend on budgets and projects
- service user and staff feedback
- attendance management records
- insurance claims statistics
- number and nature of complaints
- reduction in significance and/or duration of risks in Risk Registers
- satisfaction surveys
- incident and accident statistics

Risk audits

- 5.13 Risk audits are occasionally carried out to monitor compliance with best practice on specific risk issues at either Corporate or Directorate level. These audits may be carried out by internal risk specialists or external parties such as specialist risk consultants or insurers. Results of these audits are normally co-ordinated by the relevant Management Team, Directorate Risk Management Representative and Directorate Risk Management Group. Remedial action necessary is then incorporated as required into the Directorate Risk Register. An equivalent process applies if a corporate level risk is involved with the Corporate Risk Management Group taking the lead.

Statements of Assurance and Annual Governance Statement

- 5.14 The various processes defined in this Strategy assist the Corporate Director - Finance and Central Services in producing his Assurance Statement and the **Annual Governance Statement** for the annual Statement of Final Accounts, as required under the Audit & Accounts Regulations 2003, **incorporating Accounts and Audit (Amendments) Regulations 2006 and the CIPFA/SOLACE Delivering Good Governance in Local Government Framework and Guidance 2007.**

Improvement Activities (to be reflected in the Risk Management Action Plan)

- 5.15 **The Risk Management Action Plan necessary to implement this has been redrafted and updated to take into account best practice guidance reflected in BS 31100 Risk Management Code of Practice. To assist in developing and co-ordinating the actions that will be required, the Plan is divided into 8 Themes viz:**

- **Policy**
- **Process**
- **Members**
- **Directorate**
- **Partnerships**
- **Training**
- **SCP**
- **Insurance**

The actions detailed under each Theme are also cross referenced to key principal source documents; this cross checking mechanism was adopted to ensure no necessary Actions are missed from these source documents.

- 5.16 The present RPS software used to develop and maintain risk registers is no longer supported by its supplier. Upgrades are also no longer available. It has therefore been necessary to carry out a procurement exercise to purchase a new software product. The new system will be configured to meet our existing needs, data will then be migrated and user training will be carried out prior to the next schedule of risk register updates starting in October 2009.
- 5.17 At the present time risk registers are developed for new initiatives such as **Building Schools for the Future and Environmental Management**. This ensures that risk is considered when making decisions **on strategic policy and major projects**. It is intended to build on the work being done in this area to improve the support provided for strategic policy decisions **by introducing an electronic format of reports to Executive which will include a section on risk management/assessment as a mandatory component**.

DRAFT

6.0 REPORTING ARRANGEMENTS

6.1 The formal reporting pathways are shown diagrammatically in **Appendix 4**. The by whom to whom, and content involved, is summarised in the table below:

By Individual/Group	To	Content	Frequency
Leader Chair of Standards Committee Chair of Audit Committee Chief Executive Monitoring Officer Section 151 Officer	Local Community and other interested parties	<ul style="list-style-type: none"> Corporate Governance Statement of Assurance & Annual Governance Statement 	Annually
Management Board	Executive/Audit Committee	<ul style="list-style-type: none"> Corporate Risk Register 	Half-yearly or as required
Corporate Director - Finance and Central Services	Management Board	<ul style="list-style-type: none"> Corporate Risk Register 	Half-yearly
	Audit Committee	<ul style="list-style-type: none"> Risk Management Action Plan 	Half-yearly
Corporate Directors	Management Board	<ul style="list-style-type: none"> Directorate Risk Registers 	At least annually
	Audit Committee	<ul style="list-style-type: none"> Statement of Assurance 	Annually
Risk Management Groups & Representatives	Corporate Director/ Directorate Management Team	<ul style="list-style-type: none"> Directorate Risk Register Business Unit Risk Registers 	Determined by Directorates but at least half-yearly
	Corporate Risk Management Group	<ul style="list-style-type: none"> Directorate Risk Registers Directorate Risk Management activities 	Quarterly
Ad Hoc Risk Working Groups	Corporate Risk Management Group	<ul style="list-style-type: none"> Risk Project Action Plans 	Quarterly

7.0 TRAINING AND COMMUNICATION ARRANGEMENTS TO SUPPORT IMPLEMENTATION OF THE STRATEGY

Core Activities

7.1 Training in risk management methodology and techniques will be provided to those officers with direct responsibility for / involvement in driving the risk management process by representatives from:-

- ➔ Insurance and Risk Management Section
- ➔ Internal Audit
- ➔ Corporate Risk Management Group

7.2 Training in the risk management methodology will also be provided to the Executive, Audit Committee, Corporate Directors, Service Heads, Managers and **RPS administrators**.

7.3 Risk awareness sessions will be provided for staff when necessary.

Annual Risk Management Conference

7.4 Since 1998, the County Council has held an Annual Risk Management Conference in November each year. This will continue as part of this Strategy.

7.5 The Conference provides the opportunity to invite guest speakers on topical risk issues to speak directly to staff at various levels within the County Council.

7.6 The County's insurers and risk advisers generously sponsor the event each year and provide guest speakers, refreshments, paperwork and risk checklists etc.

Annual Risk Management Awards

7.7 As part of the Conference preparations each year, Directorates are invited to submit entries to the County Risk Management Awards. This scheme allows the County Council to recognise the efforts made by individuals in helping to achieve risk management goals and any resulting improvements in service delivery.

7.8 The Awards provide those involved in risk management processes, with the opportunity of promoting the work they have been doing and demonstrate the improvements that have resulted.

7.9 Entries are judged by the Corporate Director - Finance and Central Services, the Risk and Insurance Manager and representatives of the County Council's insurers and advisers.

7.10 Winners are presented with their awards by the Chairman of the Council at the November Conference, and have the opportunity to attend the annual ALARM conference or a work related conference of their choice.

7.11 Other promotional activities

- ➔ internal seminars on specific risk projects
- ➔ promotion of external seminars, eg Better Governance Forum seminars
- ➔ articles on topical risk issues are included within County Council Staff newsletters

Intranet Site

- 7.12 The Insurance and Risk Management Section has developed an intranet site dedicated to risk, insurance and claims issues which includes and has links to other relevant intranet sites, for example Health and Safety Risk. The intranet site will continue to be developed to ensure it provides a quality information and advice service to all County Council staff.

8.0 LINKS TO OTHER POLICIES, STRATEGIES AND PROCESSES

Service Planning and Performance

- 8.1 Directorate and Service Unit risk registers are included in respective Service Plans. Remedial actions from key risks identified in the risk registers are fed into the action plans of Service Plans and assigned to individual managers for action.
- 8.2 Performance management provides input to the Risk Prioritisation process. If there are any concerns advised by the Head of Scrutiny and Performance Management about a Directorate's performance, these issues are picked up in the risk register preparation meeting with the respective Corporate Director. The relevant Corporate Director then decides whether the particular concern about performance should be reflected in the risk register.

Strategic Decision Making

- 8.3 A template for decision making has been developed for Executive Committee which includes an assessment of risk. In the near future, an electronic format of reports to Executive will be developed and include a section on risk management/assessment as a mandatory component.
- 8.4 As well as Directorate and Service risk registers, additional risk registers are also developed for specific areas of activity within the County Council such as large capital procurement or change projects. This process assists in ensuring informed decision making on strategic policy decisions and major projects.

Project Management Arrangements

- 8.5 As part of the project management arrangements within the County Council, risk registers are developed to ensure that any key risks which may jeopardise the project are identified and mitigating actions are taken.

Partnership Arrangements (including shared services)

- 8.6 As well as links with the generic Partnership Guidance toolkit, the Insurance and Risk Management Section has been involved in a comprehensive overview of all the partnerships in which the County Council has some involvement. This is to evaluate the status of the partnership's governance and also their contribution to the achievement of the objectives of the County Council.
- 8.7 The Risk Prioritisation System has then been used to assess the overall risk score arising out of an assessment against factors such as the probability of a governance failure, the degree of influence on achieving service objectives, the level of financial contribution etc. The intention is to prioritise the application of the Guidance, and undertake initial improvement action planning against those partnerships judged to be an overall high risk.

Service Continuity Planning

- 8.8 Service Continuity Management (SCM) issues are considered as part of the risk register process. When any SCM risks are identified within Service Units, this information is fed across to the Corporate SCM team. Other updates such as changes in the structure of Directorates etc. are also fed into the SCM team.

Health and Safety Risk Management

- 8.9 Health and safety is an integral part of managing County Council processes and associated risks are managed in line with the Corporate Health and Safety Policy and Strategy. The Health and Safety RM Unit feed comments in to the Risk Prioritisation Process. If there are any concerns advised by the Head of Health and Safety RM about a Directorate or Service Unit, these issues are picked up in the preparation meeting with the respective Corporate Director or Service Unit Assistant Director. The relevant Corporate Director or Assistant Director will then decide whether the particular health and safety issue(s) should be reflected in the risk register.

Information Governance

- 8.10 Information Governance issues are considered as part of the risk register process. Service Unit Assistant Directors are asked during their preparation meetings for risk registers to consider whether information governance issues should be included as one of the key risks. Mitigating actions then form part of the risk register with responsibility being assigned to a particular manager. Links are also maintained through the Information Governance Officer Group.

Counter Fraud

- 8.11 The risk of fraud and corruption can have a significant impact on the County Council. To help support the Counter Fraud Strategy and Annual Fraud Assessment the risk management process assists officers in ensuring that the risk of fraud and corruption is adequately considered. This is achieved in a number of ways including:

- ➔ checks for duplicate and repeat insurance claimants
- ➔ undertaking the National Fraud Initiative 2008
- ➔ insurance claims handlers having an embedded fraud checking system in place for all claims
- ➔ full review of medical notes by solicitors handling personal injury claims to establish causation
- ➔ robust defence of frivolous or spurious claims to act as a deterrent to potential fraudsters

Corporate Governance

8.12 Risk Management is an integral part of the County Council's corporate governance arrangements and has been built into the management processes as part of the organisation's overall framework to deliver continuous improvement in service delivery. Links to corporate governance are ensured through the Corporate Governance Officer Group, the Corporate Governance Checklist, the Annual Statements of Assurance from Corporate Directors and the Annual Governance Statement.

Risk Financing

Use of Directorate Budgets

- 8.13 The costs of risk reduction measures will usually fall against Directorate / Service budgets although in exceptional cases (based on an approved business case) funds may be made available from corporate revenue and/or capital resources.
- 8.14 The costs of claims are dealt with under insurance arrangements (see below).

Insurance Arrangements

8.15 The current policy of the County Council is to maintain a Self Insurance Fund for certain classes of insurance to pay for claims within the excess/deductible negotiated with the external insurer. At the present time, the following risks are funded on this basis:

- ➔ Public and Employers Liability
- ➔ Motor
- ➔ Fire and Related Perils

8.16 The Self Funds are replenished via the insurance premium allocation arrangements which recover from Directorate budgets the combined cost of external premiums and the required self-fund contributions. These arrangements are managed by the Insurance and Risk Management Section (which is part of the Risk Management Service within Finance and Central Services).

8.17 As well as administering the Self Funds on a daily basis, the Insurance & Risk Management Section will continue to monitor and assess:

- ➔ how losses can be cost effectively funded
- ➔ the ongoing adequacy of the Self Funds in relation to expected claims
- ➔ possible risk pooling arrangements
- ➔ the possible transfer of risk through contract conditions (by working with Legal Services)

8.18 During the annual insurance renewal process, the Insurance & Risk Management Section works alongside the County Council's insurance adviser, Marsh UK Ltd, to assess the most cost effective balance between self insurance and external insurance cover.

8.19 An actuarial review of the Self Fund is carried out every 3 years by the County Council's Insurance and Risk Management consultants.

8.20 All of the current external insurers take a great interest in the County Council's risk management activities and contribute to the process via consultancy days and Directorate specific advice, reviews and training sessions.

9.0 **REVIEW OF RISK MANAGEMENT STRATEGY**

9.1 In recognition of the dynamic nature of risk management, this Strategy will be reviewed biennially to ensure its continuing relevance to prevailing County Council structures and services.

10.0 **CONCLUSION**

10.1 Risk management is critical to the effective overall management of the County Council.

10.2 In addition to offering cost savings, risk management can reduce service disruption and enhance the experience of stakeholders dealing with the County Council. It will also help minimise the exposure of the County Council to negative publicity and costly litigation. Risk Management can also be used to help encourage innovation, on the basis that potential risks are managed to acceptable levels.

10.3 Many of the skills and resources needed to manage risk effectively already exist in the County Council. This Strategy offers a structured approach to risk management that can harness these skills and resources to the overall benefit of the County Council and the community it serves.

ROLES AND RESPONSIBILITIES

Role	Group / Individual	Responsibilities
<p>To oversee the effective management of risk throughout the County Council by</p> <ul style="list-style-type: none"> ➔ gaining an understanding of Risk Management and its benefits ➔ taking reasonable steps to consider the risks involved in the decisions taken ➔ requiring officers to develop and implement an all encompassing approach to Risk Management 	County Council	<ul style="list-style-type: none"> ■ to formally approve the Corporate Risk Management Policy and Strategy (CRMS)
	Executive	<ul style="list-style-type: none"> ■ to ensure on behalf of the County Council that the CRMS is implemented and its aims/objectives achieved ■ to consider the risks involved in the decisions taken by them
	Audit Committee	<ul style="list-style-type: none"> ■ to review the overall arrangements for risk management as part of the overall Corporate Governance framework ■ to monitor the delivery of the CRMS and associated Action Plan ■ to hold the Corporate Directors (and Directorate Management Teams) accountable for the effective management of risk within their Directorates.
<p>To ensure that the County Council manages risks effectively through the development of an all encompassing Corporate Policy / Strategy with attendant risk registers and Action Plans.</p>	Chief Executive	<ul style="list-style-type: none"> ■ to set out and review the corporate risk priorities of the County Council. ■ to sign the Corporate Annual Governance Statement
	Management Board	<ul style="list-style-type: none"> ■ to ensure that the County Council manages risk effectively through the promotion, development and implementation of a comprehensive CRMS and to monitor delivery by considering regular reports from Corporate Directors. <p>to determine the risk priorities facing the County Council as a whole and ensure each priority risk area is adequately addressed and monitored.</p>

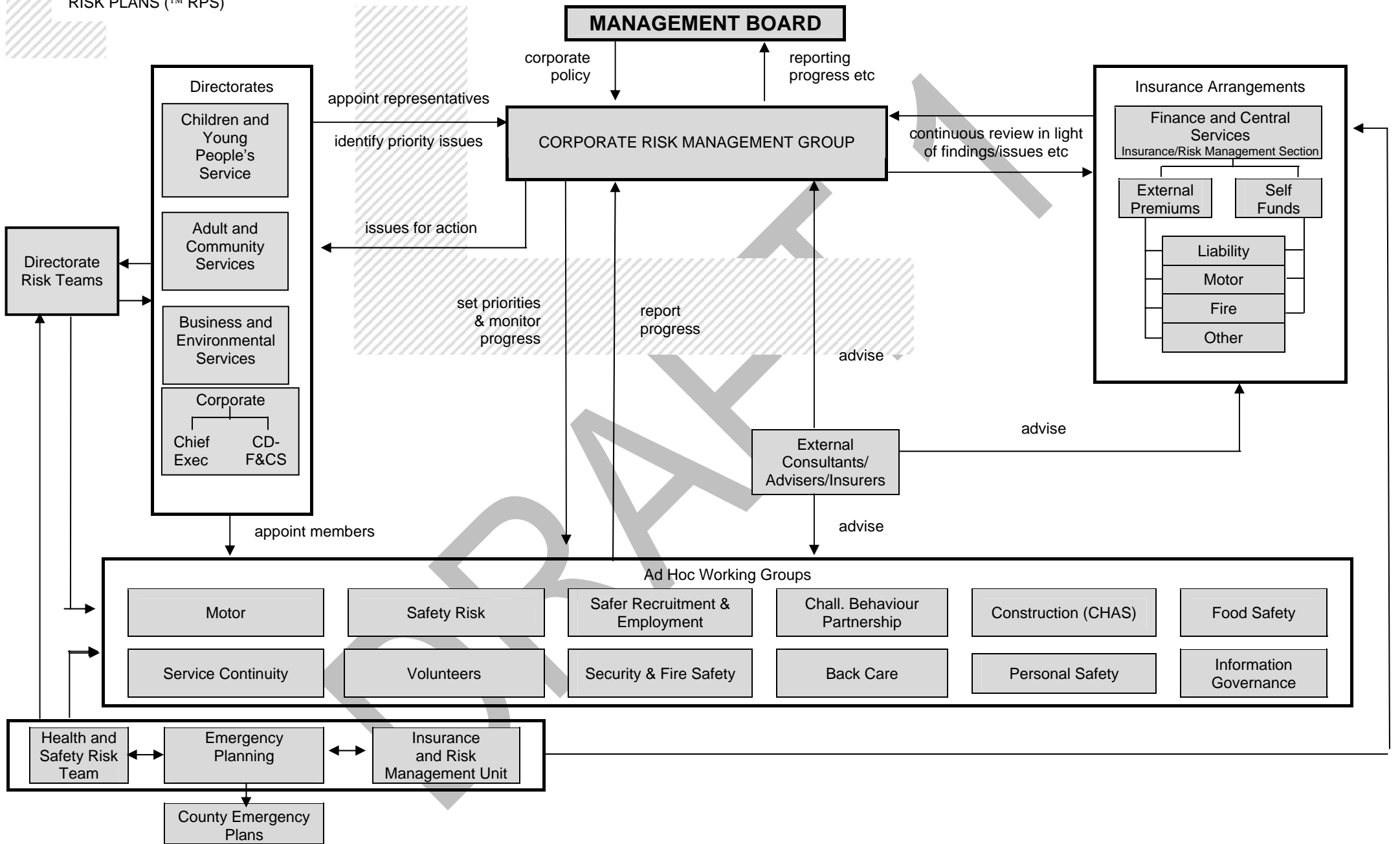
Role	Group / Individual	Responsibilities
	Corporate Director – Finance and Central Services (Section 151 Officer)	<ul style="list-style-type: none"> ■ to co-ordinate and manage the risk management process within the County Council on behalf of the Management Board ■ to prepare the annual statements related to Corporate Governance matters as required by the regulations at the time ■ to chair the Corporate RMG
	Corporate Directors	<ul style="list-style-type: none"> ■ to ensure that risk is managed effectively in their Directorate / service area in accordance with the agreed Risk Register(s) ■ to report to the Management Board on risk issues on a regular basis ■ to ensure that emerging risks identified by existing management processes, inspectors or by Internal / External Audit are fed into the appropriate Risk Register for action. ■ prepare Annual Statements of Assurance
To ensure that risk is managed effectively in each service area within the agreed Corporate Policy / Strategy and with regard to associated risk registers and Action Plans.	Head of Scrutiny & Corporate Performance	<ul style="list-style-type: none"> ■ to provide Service Performance Planning guidance on the inclusion of appropriate Risk Register information ■ to ensure that risk issues are considered by Scrutiny Committees in accordance with the requirements of the CRMS
	Risk Management Service (ie Insurance and Risk Management, Health & Safety Risk, Emergency Planning)	<ul style="list-style-type: none"> ■ to support all Directorates in the effective development, implementation and review of the CRMS and to share experiences on RM across the County Council. ■ to facilitate and support the RPS process ■ to plan and oversee the County's risk financing and insurance arrangements, including claims handling

Role	Group / Individual	Responsibilities
		<ul style="list-style-type: none"> ■ to implement the requirements of the Civil Contingencies Act ■ to actively promote RM best practice across the County Council
	Corporate Risk Management Group	<ul style="list-style-type: none"> ■ as per paragraph 3.6 of CRMS
	Directorate Risk Management Groups	<ul style="list-style-type: none"> ■ to act as the channel for risk management information within their Directorate ■ to monitor progress on actions defined in Directorate and Business Unit risk registers ■ to update the Corporate RMG as required on Directorate risk priorities ■ to ensure that identified weaknesses from Internal and External Audit reports are fed into the RPS process
	Service Heads	<ul style="list-style-type: none"> ■ to feed into the development of the RMS from a service specific perspective ■ to promote risk management and ensure that the RMS is implemented effectively within their service(s) ■ to liaise as appropriate with external agencies in identifying and managing risk ■ to disseminate the detail of the RMS and allocate responsibilities for implementation to line managers and staff ■ to establish the training requirements of line managers and staff with regard to RMS implementation ■ to ensure that an operational risk register is maintained up-to-date for their service areas ■ to work with the Insurance and Risk Officer in assessing insurance requirements for services.

Role	Group / Individual	Responsibilities
		<ul style="list-style-type: none"> ■ to manage risk effectively and proactively in their particular service areas and to report on significant risks to the Directorate Management Team ■ to ensure that Service Performance Plans include information from relevant Risk Registers.
	Managers	<ul style="list-style-type: none"> ■ to implement the detail of the RMS ■ to recommend the necessary training for staff on risk management ■ to share relevant information with colleagues in other service areas
To manage risk effectively in their job.	All Staff	<ul style="list-style-type: none"> ■ to liaise with their line manager to assess areas of risk in their job ■ to identify new or changing risks in their job and feed these back to their line manager ■ to undertake their job within the risk management guidelines set down for them by their manager ■ to ensure that the skills and knowledge passed to them are used effectively
To provide assurance that the Corporate Risk Management Policy / Strategy is being implemented effectively in all areas of the County Council	Internal Audit	<ul style="list-style-type: none"> ■ to regularly review the effectiveness of the County Council's RM arrangements ■ to review the effectiveness of agreed risk controls within Directorates ■ to ensure that identified weaknesses from internal audits are fed into Risk Registers ■ to ensure risk priorities influence the Council's Audit Plan as necessary.
	External Audit	<ul style="list-style-type: none"> ■ to review the effectiveness of the County Council's RM arrangements

Role	Group / Individual	Responsibilities
		<ul style="list-style-type: none"> <li data-bbox="938 210 1441 315">■ to inform the County Council of future developments relating to risk management <li data-bbox="938 327 1441 465">■ to confirm that identified weaknesses from External Audit work are fed into the RPS process

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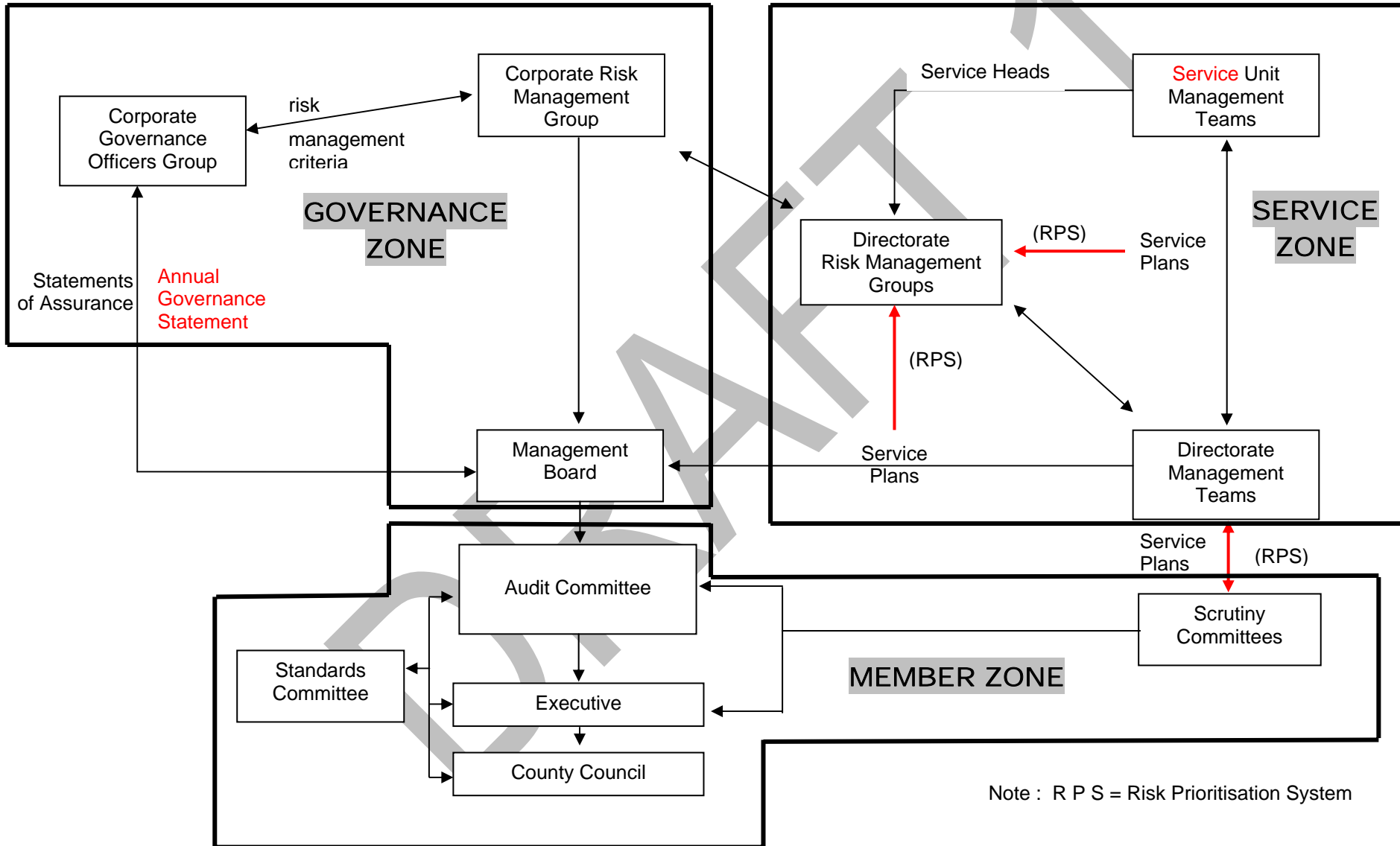
RISK MANAGEMENT SCHEMATIC PLAN 2009 - 2012

ACTIVITIES	2009/10				2010/11				2011/12			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M
Annual Risk Register Update (for SPPs)												
Half Yearly Risk Register updates												
Service Plans finalised												
Directorate Risk Registers update (following SU updates)												
Corporate Risk Register update (Mgt Board) (following Directorate updates)												
Mgt Board review Corporate Risk Register												
Executive review Corporate Risk Register												
Corporate Affairs O & S Committee review Corporate Risk Register												
Audit Committee review Corporate Risk Register												
'Project' risk register updates (as required)												
Corporate Governance links												
Liaison with CGOG												
Audit Commission Annual Audit Letter <i>What is this now?</i>												
Annual Audit Plan preparation												
Production of CG Statement of Assurance & Annual Governance												

ACTIVITIES	2009/10				2010/11				2011/12			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M
RM Strategy Review												
RMS Progress Reports to Audit Committee												
Healthcheck (annual update)												
Internal audit of RM (regular)												
Benchmarking (annual)												
Update and produce RMS (every 2 years)												
Communicating Risk												
Corporate RMG meetings												
Directorate RMG meetings												
Corporate RM Conference												
Corporate RM Awards												
Risk Financing												
Insurance Fund Review												
Insurance Renewal Process												
Tender for Insurances (2011)												
Appointment of Risk & Insurance Advisers (2010)												
External linkages												
Attend ALARM Conference												

ACTIVITIES	2009/10				2010/11				2011/12														
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4											
	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M	A M J	J A S	O N D	J F M											
Better Governance Forum seminars (as and when)																							
<i>Improvement Issues</i>		J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M
See Risk Management Action Plan																							

RISK MANAGEMENT REPORTING PATHWAYS



CEO Corporate Risk Register

Risk Register Summary

Username: aboyle

Report Reference: 38/1234
Date: 26 August 2009

Identity			Person		Classification												Fallback Plan			
Risk No	Risk Group	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FB Plan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
051/01	Health and Safety	Major Corporate Health and Safety failure resulting in injuries, claims, reputational and service delivery impact and possible prosecution etc (including Corporate Manslaughter Legislation)	CEO	CD FCS	M	M	M	M	H	2	10	31/10/09	M	L	M	L	H	2	Y	All Corporate Directors
047/06	Service continuity	Failure to deal effectively with an internal emergency eg significant service performance failure, significant staff shortage, ICT blackout/resilience, loss of/resilience of key buildings, resulting in reduced service delivery capacity, potential loss of reputation and litigation, as well as our inability to discharge our subregional responsibilities	CEO	CD FCS	M	M	H	M	M	2	7	30/09/09	M	M	H	M	L	2	Y	CEO
045/07	Performance	Failure to deliver the Waste Strategy	CEO	CD BES	M	M	H	L	H	2	11	30/09/09	L	M	H	L	M	3	Y	CD BES

CEO Corporate Risk Register

Risk Register Summary

Username: aboyle

Report Reference: 38/1234

Date: 26 August 2009

Identity			Person		Classification												Fallback Plan			
Risk No	Risk Group	Risk Description	Risk Owner	Risk Manager	Pre						RR		Post						FB Plan	Action Manager
					Prob	Obj	Fin	Serv	Rep	Cat	RRs	Next Action	Prob	Obj	Fin	Serv	Rep	Cat		
001/12	Resources	Lack of adequate resources in the current MTFS period (2009/12) to support service delivery resulting in failure to discharge our duties and / or achieve our plans. Resulting in poor performance and adverse inspection judgements, partnership failures and lost opportunities.	CEO	All Mgt Board	M	M	H	M	L	2	5	31/08/10	M	M	M	M	L	4	Y	All Mgt Board
008/10	Performance	Failure to plan or respond effectively to major emergencies in the community eg terrorist incidents/alerts, flooding, major transport network disruption resulting in ineffective response, citizen harm, waste of resources and public criticism.	CEO	CD FCS	L	L	H	L	H	3	5	31/08/10	L	L	H	L	M	3	Y	CEO

Agenda Item		Action By
	<p>Food Safety - CC to contact Nick Postma to establish how the group is doing and confirm an action plan is in place.</p> <p>CHAS - There are two property / construction issue groups, one specific to Jacobs. JSM is to advise any changes of name required but there will be only one report to this Group, by DP.</p> <p>Challenging Behaviour Partnership - Simon Ashby has recently taken over as Chair of this Group. FS and CC to assist where required with setting up meetings and membership.</p> <p>Safer Recruitment & Employment - Active and well attended.</p> <p>Safety Risk - Active and well attended.</p> <p>Motor - Working on the upcoming Driver Policy see 4.4.</p>	<p>CC</p> <p>JSM</p> <p>FS / CC</p>
3.	<p>Agreed Report of Meeting held on 16th March 2009</p> <p>6.1 Fire Risk Assessment Action Plan. JSM asked if the three years referred to was the time given to NYCC to complete all actions the Fire Service suggested. PJ confirmed that the actions in the plan were for NYCC only.</p> <p>9.0 Parking at Racecourse Lane. JJ had checked on parking but had not seen any particular issues. HF added she was not aware of major problems.</p>	
4. 4.1	<p>MATTERS ARISING</p> <p>Hazardous Waste including low energy light bulbs</p> <p>JJ reported that the recycling / hazardous waste task remains and resource is required to move it forward.</p> <p>It was felt that the hazardous content of low energy light bulbs was not an issue due to the low levels involved and the fact that NYCC do not use such bulbs (fluorescent tubes are predominantly used)</p> <p>SD queried whether low light levels were an issue for service users but JSM pointed out that as standard bulbs were being removed there wasn't much that could be done. JJ advised that the light quality of low energy bulbs was much improved.</p> <p>DP raised the issue of use of high visibility tape on steps in the Brierley Building to assist a visually impaired employee, these were not long lasting and the query was whether the step nosing could be painted. JJ advised DP to raise the issue with Judith Harrison.</p> <p>Premises Safety Document</p> <p>A series of documents are being produced, the first of which is due in September. These are targeted initially towards schools and will be available on the intranet.</p> <p>Allergies policy work within Food Safety Group</p> <p>PG has done some further work on this and it will be picked up in the action plan (see point 2).</p>	<p>DP</p>

Agenda Item		Action By
<p>4.4</p> <p>4.5</p> <p>4.6</p>	<p>Driver Policy update</p> <p>DH updated the group including :-</p> <ul style="list-style-type: none"> - Driver training officer; Job Evaluation agreed and post being advertised internally, will go external if no suitable candidates. Hope to have in post by early August. - Driver Handbook on hold pending possible alternative supplier being investigated. This has knock on delay to production of Manager's guidelines. - Driver database awaiting scoping and lead officer nomination. - Policy report is dependent on the above handbook and guidance issues being resolved. <p>JSM advised that the Policy had been to management board and he will update FS with the outcomes.</p> <p>The mobile phone Policy has been agreed, the result is that staff will not be allowed to use a mobile phone (including hands free) whilst driving or whilst the engine is on. There will be a further key message regarding this.</p> <p>Progress on the revised Information Governance Framework</p> <p>JSM advised that the first strand of the framework, internet access banding, has been reviewed. Anyone requiring access to sites above level 2 (standard access, BBC etc) will require Director approval. This restriction will be introduced within the next few weeks. Social networking sites will not be accessible at the standard access level.</p> <p>Upcoming work includes encryption around memory sticks and other media.</p> <p>Membership issues within Back Care Group</p> <p>See item 2.</p>	<p>JSM → FS</p>
<p>5.</p> <p>5.1</p> <p>5.2</p>	<p>Update report from Working Group Leaders</p> <p>Personal Safety</p> <p>WP took the Group through the report circulated with the agenda including membership (see 2.0) and demonstrated some personal safety training material. It was agreed that when the training packages were ready DP should see JSM so that it could be presented appropriately to management board.</p> <p>Voice Connect</p> <p>WP took the Group through the report circulated with the agenda including</p> <ul style="list-style-type: none"> - a demonstration of the new online training package. - current user levels, WP to produce up to date reports for each of the Directorates. - an approach from the Wilf Ward Trust to register their staff on the system. SD asked for details of how much the commercial charge would be for such a system so that he could consider on what terms approval could be given to the request. WP to advise. 	<p>DP</p> <p>WP</p> <p>WP</p>

Agenda Item		Action By
<p>6.</p> <p>6.1</p> <p>6.2</p> <p>6.3</p> <p>6.4</p> <p>6.5</p>	<p>Corporate Risk Management Issues</p> <p>Corporate Risk Register</p> <p>Noted. JSM advised that there is to be a new risk related to the economic downturn.</p> <p>Review of Terms of Reference</p> <p>FS and JSM to agree a suitable inclusion regarding the use of risk management in decision making.</p> <p>Risk Management Action Plan</p> <p>FS took the Group through the tasks in the action plan that was distributed with the agenda including:-</p> <ul style="list-style-type: none"> - risk management in partnerships; work in progress under Geoff Wall - the requirement to train all staff; it was accepted that “all” was unrealistic but that current practices of sharing risk register content at management teams, training via workshops, the risk management conference and some “day to day” risk training ensured that we were reaching a reasonable level of staff. - risk in job descriptions; FS to follow up with HR to see to what extent the post job evaluation descriptions include risk management responsibilities. - member training; it was agreed that this should concentrate on decision making members and JSM and DP are to see if the planned H&S training could be extended to incorporate this. <p>Risk Management Training</p> <p>No further training to be arranged other than those in 6.3</p> <p>Annual Report to Management Board</p> <p>FS to complete by June/July with a view to reporting in September, to tie in with report to CAOSC.</p>	<p></p> <p>FS / JSM</p> <p></p> <p>FS</p> <p>JSM / DP</p> <p></p> <p>FS</p>
<p>7</p> <p>7.1</p> <p>7.2</p>	<p>Other Risk Management Issues</p> <p>Planning for Risk Management Conference XI on 5th November 2009</p> <p>All reps are in place and the first planning meeting is to take place on 21st May.</p> <p>ALARM Risk Management Award Submission</p> <p>Telecare within ACS has been short listed for a national award by the public risk management association, ALARM. FS to liaise with SD and the lead officer re attendance at the award presentation in Bournemouth on 22nd June.</p>	<p></p> <p>FS / SD</p>

Agenda Item		Action By
8.	External Risk Management Training	
8.1	ALARM North East Workshop – Friday 25th September 2009 at Keep Moat Stadium, Doncaster. Subject – Credit Crunch and Financial Risks Noted	ALL
8.2	ALARM North East Winter Seminar – Friday 4th December 2009, York. Subject – Sustainability Noted	ALL
8.3	Better Governance Forum programme for 2009 Noted, we again have 12 places for the year. Places can be booked via FS or CC.	ALL
9.	ANY OTHER BUSINESS SD to contact Robin Myshrall regarding concerns over potential flu jab shortages this winter.	SD
10.	DATES OF FUTURE MEETINGS Monday 20 th July at 2.00pm Pink Room Monday 21 st September 2.00pm Pink Room Thursday 5 th November (date for Conference)	ALL

People attending: John Moore
Fiona Sowerby
Chris Clark

Directorate representatives:

Sukhdev Dosanjh Jon Holden
Dave Bowe Judith Johnson

Working Group representatives:

Helen Fowler Dominic Passman
Nick Postma Phil Jones

Apologies:

Jo Swain Colin Parkin
David Ranner Robin Myshrall

**CORPORATE RISK
MANAGEMENT GROUP**

REPORT OF MEETING HELD ON 20th JULY 2009 @ 2.00 pm

<i>Agenda Item</i>		<i>Action By</i>
1.	<p>WELCOME AND APOLOGIES</p> <p>See above.</p>	
2.	<p>WHO'S WHO – circulated with agenda</p> <p>PJ advised he no longer attends CHAS, CC to amend. SD will advise changes to ACS membership following completion of their review. Any other changes to be notified.</p>	ALL/CC
3.	<p>Agreed Report of Meeting held on 18 May 2009</p> <p>Item 4.1 Hazardous waste disposal</p> <p>JJ advised that there was now movement on this although progress was likely to be slow.</p> <p>Item 4.4 Driver Policy - attached</p> <p>DB provided an update advising that the Policy was currently out to consultation with Health & Safety colleagues. They are also looking at "grey fleet" management options where staff who use their own vehicles on Council business would receive fleet management services. This could be a way of ensuring the Council was meeting its duty with regard to roadworthiness of vehicles, driver licences and insurance. The Policy will progress once a decision of the fleet management option has been made.</p> <p>This Group is asked to feedback any comments on the current draft of the Policy to DB prior to the next meeting.</p>	ALL
4. 4.1 & 4.2	<p>MATTERS ARISING</p> <p>Personal Safety working group membership and Back Care working group membership.</p> <p>SD advised that leadership and membership of these groups was being reviewed within ACS and he would advise further once the review was complete.</p>	SD

Agenda Item		Action By
4.3	<p>Challenging Behaviour Partnership</p> <p>CC advised that Mike McCauley is now chairing the Group and assistance had been provided to arrange a meeting for 3rd September. Mike will report to the Corporate Group on 21st September.</p>	MM
4.4	<p>Personal Safety Training Packages</p> <p>These are not yet complete but DP to speak to JSM when they are to ensure they are presented appropriately to Management Board.</p>	DP
4.5	<p>Voice Connect usage by Wilf Ward</p> <p>DP advised that Wilf Ward were looking to pay for the service as opposed to any <i>quid pro quo</i> arrangement. SD to speak to Seamus Breen as there was concern over allowing Wilf Ward to benefit from the reduced cost of utilising the Council's system at a time when they were moving towards "full cost recovery" in respect of provision of their services.</p>	SD
4.6	<p>Revised Terms of Reference</p> <p>Agreed.</p>	
4.7	<p>Annual Report to Management Board</p> <p>FS and JSM to discuss content.</p>	FS / JSM
5.	<p>Exception report from Directorate Reps on Action Plans and Risk Registers 2008/09</p> <p>5.1 Adult and Community Services</p> <p>SD took the group through the report circulated prior to the meeting including:-</p> <ul style="list-style-type: none"> - the key risks on the Directorate risk register; efficiency savings, partnership working, demographic pressure on budgets, personalisation and safeguarding - pandemic flu planning within the Directorate - the impact of the personalisation agenda - the success of the Telecare Initiative submission in the national risk management awards, where it was "highly commended", just missing out on winning <p>5.2 Children and Young People's Services</p> <p>JH tabled the attached report including:-</p> <ul style="list-style-type: none"> - the key risks on the Directorate risk register; Health and Safety, Primary Capital Strategy and Building Schools for the Future - the theme based audit approach being undertaken, starting with Swimming Pools and moving on next to Noise - guidance on risk management issues in extended schools which is planned for issue in September 	

Agenda Item		Action By
	<ul style="list-style-type: none"> - a significant piece of work carried out in relation to the “Culture Shock” youth festival at Pickering. It was suggested that this be entered in the awards at the upcoming risk management conference - CYPS reviewing its support services in light of recent ICT failures. On this JSM advised that they should wait until the Management Board meeting of 28th July, when key site resilience is to be discussed, before acting 	
<p>6.</p> <p>6.1</p> <p>6.2</p>	<p>Update report from Working Group Leaders – review report and action plan</p> <p>Food Hygiene/Safety Risk Management</p> <p>NP advised that the Group had not met for some time primarily due to personnel changes. It had now resolved to meet in September, when membership would be reviewed and action plan addressed.</p> <p>One of the main challenges faced is the Introduction of the Food Standards Agency’s “Scores on the Doors” scheme under which the hygiene ratings of all food sales/handling/production establishments will be made publicly available. This will include scores for schools and EPHs and there are obvious reputational risks to be managed, particularly in view of the fact that the ratings awarded can be based on Environmental Health Officer visits to premises some time ago.</p> <p>Other issues to be worked on by the Group once back up and running are:-</p> <ul style="list-style-type: none"> - communication of food alerts - allergies policy - food safety audits of suppliers in light of the welsh butcher e-coli incident. JSM asked if such an example could be used to encourage EPHs to use more Corporate contracts - extended schools; both provision of catering and use of facilities <p>Safety Risk</p> <p>DP took the Group through the report that was circulated with the agenda including:-</p> <ul style="list-style-type: none"> - progress on matters throughout 08/09. JSM asked what was happening with the work that David Aked had started on First Aiders. DP advised that Ian Peckitt was providing training and monitoring any new first aider requirements. - Action plans for work in 09/10, a key element of which is the implementation of the revised Corporate H&S Policy. <p>DP then took the Group through the draft Policy that was circulated with the agenda highlighting:-</p> <ul style="list-style-type: none"> - the new strap line and request that the Council pledge to support the HSEs new strategy - increased clarity of the objectives - the fact that the whole of Management Board will sign up to the Policy - commitment of Members 	

Agenda Item		Action By
	<p>The draft goes to CAOSC in September so any comments from this Group should be fed back to DP in good time. JSM asked if the issue of the duties the Policy imposes on employees as against any help given to assist them in discharging those duties had been resolved. DP confirmed it had. SD and DB confirmed that they were happy with the support given to their staff with H&S responsibilities.</p> <p>The subject of violent warning markers was discussed and SD asked if a system that allowed ACS and CYPS to share information could be created. Robert Beane (Veritau) has already demonstrated a system used by City of York and it was agreed that HF, JSM and Robert should discuss whether a similar system could be adopted by NYCC.</p>	<p>ALL</p> <p>HF / JSM</p>
<p>6.3</p> <p>6.4</p> <p>6.5</p>	<p>Service Continuity</p> <p>JSM took the Group through the attached report on behalf of RM confirming the need to get plans up and running as it is a requirement under the Civil Contingencies Act. It is hoped that current issues of Pandemic Flu and Dean Road power loss will give impetus to the process which has been somewhat sporadic thus far.</p> <p>Safer Recruitment and Employment</p> <p>Carried forward to the September meeting</p> <p>Volunteers – Policy Guidance and Toolkit</p> <p>FS advised that there had been a number of responses to the consultation request including an issue relating to the Asylum Act that required resolution.</p> <p>It was asked if any Group members wished to see the document before it went to Management Board. SD confirmed he would like to see it.</p> <p>JSM advised that he wants the document to go to Management Board at the same time as a piece of work that Geoff Wall has been doing relating to expenses for volunteers who sit on committees.</p>	<p>CP</p> <p>FS > SD</p>
<p>7</p> <p>7.1</p> <p>7.2</p> <p>7.3</p>	<p>Other Risk Management Issues</p> <p>Risk Management Strategy</p> <p>JSM has the draft version, once happy it will be circulated to this Group for observations prior to going to Management Board.</p> <p>Planning for Risk Management Conference XI on 5th November 2009</p> <p>FS updated the Group with information on topics to be covered (CAA, Information Governance and Risk Taking in Decision Making) and likely speakers. The more standardised format of this year's awards was agreed and any nominations should be sent to FS using the form circulated with the agenda. Closing date is 9 October 2009.</p> <p>ALARM Risk Management Award Submission outcome</p> <p>See 5.1</p>	<p>JSM / ALL</p> <p>ALL</p>

Agenda Item		Action By
8.	External Risk Management Training	
8.1	ALARM North East Workshop – Friday 25th September 2009 at Keep Moat Stadium, Doncaster. Subject – Credit Crunch and Financial risks	
8.2	ALARM North East North East Winter Seminar – Friday 4th December 2009, York. Subject – Sustainability	
	Noted.	ALL
	FS advised that there may be a further seminar arranged on Flu Pandemic in the North East in September. Details to follow.	
8.2	Better Governance Forum programme for 2009	
	Noted. There are still eleven places left for us to use this year.	
9.	ANY OTHER BUSINESS	
	None	
10.	DATES OF FUTURE MEETINGS	
	Monday 21 st September 2.00pm Pink Room	ALL
	Thursday 5 th November (date for Conference)	

RISK MANAGEMENT CONFERENCE XI

Risk Taking – Decision Making

Thursday 5 November 2009

Pavilions of Harrogate

PROGRAMME

<i>Time</i>	<i>Item</i>	<i>Speaker</i>
9.20	Coffee and Registration	
9.50	Welcome and Opening Address	John Marsden, Chief Executive
10.00	Comprehensive Area Assessment	
10.50	Comfort Break & Refreshments	
11.20	Information Governance	
12.10	Awards	Chairman of the County Council John Savage & John Moore, Corporate Director – Finance and Central Services
12.30 – 1.20	Buffet Lunch and Networking	
1.20	Risk Taking and Decision Making	Caspar Berry
3.20	Quiz Results	
3.30	Close of Conference	John Moore, Corporate Director – Finance and Central Services