

ALL SERVICES - RISK MATRIX

HOW LIKELY

A
HIGH

B
MODERATE

C
LOW

D
EXTREMELY LOW

Internal Communication	Motor Vehicles Property Staff Shortages Travellers Low Morale D.D.A.	Health & Safety Parks & Play Areas Cemeteries External Contractors Partnerships Flooding Work related Stress Sickness Absence Procedures & Standards Change/Reorganisation	
Car parks Public Footpaths	Communal Areas External Fraud Leaseholders	I.T. Stock Transfer	Legionella
		Gas Safety Financial Resources	Major Incident Public Events
		Asbestos	

IMPACT

4
NEGLIGIBLE

3
MODERATE

2
CRITICAL

1
CATASTROPHIC

APPENDIX 2

South Derbyshire RM Action
Plan 2002/3

**South Derbyshire
District Council**

ACTION PLAN

Reference:	Response to DA Report – Draft Version 1
Date:	May 2003

Rec	Recommendation	Priority 1 = Low 2 = Med 3 = High	Responsibility	Agreed	Comments	Date
	Title					
R1	<p>Agree</p> <ul style="list-style-type: none"> a risk assessment methodology for use within normal service and corporate planning a standard process for this and output expected 	3	<p>Management Team (MT)</p> <p>In discussion with the Risk Management Group (RMG)</p>	Agreed	<p>Next year (2004/5) Service Plans will include a section on risk management. This will require all Divisions to identify key risks and consider how they will address them as part of the Service Planning Action Plan</p> <p>Preparation of Service Plans for 2004/5 commences in August 2003.</p>	June 2003
R2	<p>Establish clear terms of reference for the RMG, MT and others within the RM framework.</p>	3	<p>MT</p> <p>In discussion with the Risk Manager (RM)</p>	Actioned	<p>Policy Statement for Risk Management has been approved by Finance & Management Committee.</p> <p>RMG minutes considered by CMT</p>	May 2003
R3	<p>In particular, establish the role of the management team, including for</p> <ul style="list-style-type: none"> a risk management champion within MT a risk management portfolio holder at member level identifying overall corporate risks from the service planning process acting on and communicating information on corporate risk profiling 	3	<p>MT and RMG</p>	Agreed	<p>Director of Community Services will act as Risk Management Champion at CMT level</p> <p>The Chair of Finance & Management will also be included as a member representative on the RMG and receive minutes of the group.</p> <p>In terms of identifying corporate risks through service planning, this is covered in the response to R1.</p> <p>We would aim to communicate information through the circulation of RMG minutes and other monitoring information referred to elsewhere in the response to this action plan.</p>	May 2003
R4	<p>Establish (risk management) reporting for service heads, management team and members which</p> <ul style="list-style-type: none"> uses existing reports arising 	2	<p>RMG</p> <p>In discussion with MT</p>	Agreed	<p>The Terms of Reference for the Risk Management Group provide for annual reporting/monitoring of risk management issues. We will change this to half-yearly reporting, which will be more appropriate.</p>	Dec 2003

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	<p>from the normal performance management process</p> <ul style="list-style-type: none"> records progress with addressing risks, and the impact of risks on achievement of corporate objectives 					
R5	<p>In respect of RM strategy</p> <ul style="list-style-type: none"> carry out a full risk profiling and prioritising exercise, engaging as many staff as practical devise a strategy and action plan, including issues such as resourcing, mitigation measures, staff responsibilities and timed actions 	3	MT and RMG jointly	Actioned	Work on this is underway as part of the risk assessment process being undertaken by the risk management group.	Sept 2003
R6	<p>Ensure that risk management responsibilities are included in all relevant job descriptions</p>	1	MT	?	This will be referred to the Personnel & Development Manager for consideration but is not viewed as a priority. Raising awareness within the Council is seen as a much higher priority	March 2004
R7	<p>Deliver training which covers management of insurable and operational risks to a wide cross section of staff and members</p>	1	RMG	Agreed	SDDC will focus on providing specific training that stems from the risk assessment work that is currently underway. General Risk Management Training has already been provided to the RMG. Additional Training will be provided as the process unfolds	March 2004
R8	<p>Review how to ensure that Internal Audit consideration of risk management is robust</p>	2	RM, MT and IA Manager	Agreed	Internal Audit is kept informed of the work of the risk management group via minutes of RMG meetings.	Dec 2003

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R9	<p>Consider</p> <ul style="list-style-type: none"> the extent to which the human resource management systems and procedures open the authority to operational risks, and put in place measures to reduce any significant risks identified 	3	RMG and Personnel Manager	Actioned	<p>The Council has already reviewed a range of personnel policies and procedures.</p> <p>The issue is less about the development of policies and procedures and more about ensuring that they are applied consistently across the council.</p>	July 2003
R10	<p>Consider how to use existing data sources and measures of performance to identify risks</p>	3	All service heads, with RMG input	Actioned	This is part of existing risk profiling for the risks identified as priority high risks	August 2003
R11	<p>Set up systems for assessing the extent of risk and liability on SDDC in contractor and partnership relationships which are not governed by normal insurance checks.</p>	3	RMG and MT jointly	Agreed and being actioned	This risk has been identified as a priority risk area to consider.	August 2003
R12	<p>Develop a systematic approach to</p> <ul style="list-style-type: none"> assessing the financial implications of risks determining and documenting appropriate responses (toleration, termination, treatment, transfer) 	3	RMG and Finance Manager jointly		<p>It would not be realistic to spend a considerable time in assessing the exact financial consequences of risk. The assessment criteria sets out to establish the adverse impact if a risk arises compared with the likelihood that the risk will occur. This is considered sufficient</p> <p>In terms of determining appropriate responses, this will be undertaken as part of the prioritised risk assessments and included within the action plan</p>	Sept 2003
R13	<p>Promote budget holder ownership of risks by allocating losses (and relevant portion of any insurance premiums paid) back to the originating departments.</p>	2	Finance Manager	Agreed	To be implemented for the financial year 2004/5	March 2004 onwards

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R14	<p>Develop</p> <ul style="list-style-type: none"> reporting from the current claims management system which can be used to identify business/corporate risks recording and reporting for 'near misses' a system for feeding this information back into the performance management and business planning system, and also into best value reviews 	2	Finance Manager	Agreed	To be implemented for the financial year 2004/5	March 2004 onwards
R15	Develop pro-active controls for managing the rising numbers of work related stress cases	3	RM and Personnel Manager	?	<p>The Council does not suffer from rising numbers affected by work related stress. We do however appreciate that this is an issue in some absences but not to a disproportionate extent.</p> <p>In any event personnel has reviewed relevant polices for Absence Management and the Scheme of Leave entitlements to help to address these issues.</p> <p>Further arrangements have been made to undertake prompt occupational health assessments and extend access to outside counselling.</p>	August 2003
R16	Develop pro-active controls in anticipation of more claims from external third parties	1	Relevant Service Heads/RMG	Agreed	Will develop monitoring arrangements in line with Risk Management Strategy	March 2004
R17	Consider whether there should be a defined fund or reserve to cover losses	1	Finance Manager	Actioned	This has been considered in conjunction with our existing insurers. In view of the Council's claims history this is not considered to be cost effective	March 2004
R18	Consider establishing the Risk	3	MT	Agreed	Aim to identify resources by the end of June 2003	May 2003

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	Management group with a budget to fund specific projects agreed by them during the year.					