



Central Bedfordshire Council

Corporate Risk Management Strategy Working Practices 2009/10

Document control

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Corporate Risk Management Strategy

1. Aims and Objectives

The Aims of the council's Corporate Risk Management Strategy are:

- Integration of Risk Management into the culture of the Council
- Raising awareness of the need for the management of risks by all those connected with the delivery of services (including partners, delivery agents etc)
- Enabling the Council to anticipate and respond to changing social, environmental and legislative conditions
- Minimisation of injury, damage, loss and inconvenience to residents, staff, service users, assets etc. arising from or connected with the delivery of Council services
- Introduction of a robust framework and procedures for identification, analysis, assessment and management of risk and the reporting and recording of events, based on best practice
- Minimisation of the cost of risk
- Support well thought through risk taking
- Ability to respond to emergency situation and/or business disruptions

The Objectives of the Corporate Risk Management Strategy are:

- Management of risks is embedded as part of the Council's culture and the commitment communicated and demonstrated throughout the organisation
- Provide and use a robust and systematic framework for identifying, managing, responding and monitoring risk
- Provide assurance of robust management system for responding to risk
- Provide a comprehensive Risk Management training and awareness programme
- To ensure compliance with statutory regulations and legislation
- Ensure critical services are identified and prepared for all eventualities
- Provide key performance risk management information for management
- To review and monitor our partnerships and other stakeholders management of risk

2. Accountabilities, Roles and Reporting Lines

2.1 The strategy details the responsibilities for risk management including health & safety for all levels of management and employees. It sets a framework that addresses the following issues:

- The different types of risk – Strategic and Directorate (Operational)
- Where it should be managed
- Member, Corporate, Directorate and key individuals roles and accountabilities
- The need to drive the policy within the Council
- Prompt reporting of incidents, accidents, losses, changes etc.

2.2 In many cases, risk management follows existing service management arrangements –directorate risk is best managed by the very people who manage service delivery.

2.3 Strategic risk is best managed by the Corporate Management Team (CMT). However to enhance linkages between the two, the Council will establish a Corporate Risk Management Group (CRMG) that is accountable to the CMT who will be the “Driving Force” behind the development and implementation of this Corporate Risk Management Strategy. This will be led by the Director of Corporate Resources and includes appropriate Legal, Risk Management, Audit, Governance, Health & Safety and Resilience support. The terms of reference for the Corporate Risk Management Group are detailed in Appendix 3.

The Council’s Head of Strategic Risk will support the Corporate Risk Management Group. However each Director will nominate an appropriate Assistant Director to undertake a Risk Management Liaison role, acting as a link between individual service managers, SMTs and the Corporate Risk Management Group.

2.4 The framework for risk management roles, responsibilities and reporting lines is detailed in Appendix 4.

3. Skills and Expertise

3.1 Having established roles and responsibilities for risk management, the Council must ensure that it has the skills and expertise necessary. It will achieve this by providing a comprehensive programme of Risk Management and Health & Safety training, learning opportunities and events that address the individual needs of members, management and staff.

3.2 The programme includes a relatively high level risk appreciation seminars aimed at Senior Managers (including Directors and Members) and more detailed and intensive courses focusing on best practice in risk management.

Training and awareness courses will also focus on specific risks already identified in areas such as the following:

- Partnership working
- Project management
- Operation of Council vehicles & equipment
- Health and safety issues: managing health and safety, stress, manual handling, DSE

3.3 A comprehensive training and events programme will be available on Intranet.

3.4 The Communication Plan for Risk Management is at Appendix 6.

3.5 The distribution of Corporate Risk Management guidance which includes the policies and procedures which take place in April/May 2009.

4. Embedding Risk Management

Risk management is an important part of the service planning process. This will enable strategic, operational and cross cutting risks, as well as the accumulation of risks from a number of areas to be properly considered. The Council aims to be able to demonstrate that there is a fully embedded process for Comprehensive Area Assessment for 2009/10.

This strategy and the information contained within the appendices, Policy Statements and Risk Management Methodology provides a framework that can be used by all levels of staff and Members in the implementation of risk management as an integral part of good management.

The Actions/Challenges to be met in embedding risk management in 2009/10 are set out in Appendix 7 and the risk register matrix and parameters are set out in Appendix 8.

5. Risks and the Decision Making Processes

5.1 Risk needs to be addressed at the point at which decisions are being taken. Where Members and Officers are asked to make decisions they should be advised of the risks and opportunities associated with recommendations being made. The training programme described in the preceding section will enable this to happen.

5.2 The Council needs to demonstrate that it took reasonable steps to consider the risks involved in a decision. Decisions will be requested through the reports to Directors, Executive & Council (depending on the nature of the decision on the prevailing delegation scheme arrangements). Significant risks must be addressed within these reports and we will look to develop a risk assessment for report clearance in the near future.

5.3 There needs to be a balance struck between efficiency of the decision making process and the need to address risk. Risk assessment is seen to be a particularly valuable in options appraisal. All significant decision reports to Executive and Committee, including new and amended policies and strategies, should include an assessment of risk to demonstrate that risks (both threats and opportunities) have been addressed.

5.4 This process does not guarantee that decisions will always be right but it will demonstrate that the risks have been considered and the evidence will support this.

6. Supporting Innovation and Improvement

6.1 Risk Management needs to be incorporated into the business planning process for all directorates with a risk assessment of all business aims being undertaken as part of the Business Plan development process with risk control measures being fed into Directorate Risk Registers.

7. Performance Management

7.1 A performance management framework will be developed to monitor the impact of the risk management activities and the success of the Corporate Risk Management Strategy itself. Individual indicators will be developed to measure achievement of the aims and objectives.

| Aim/Objective | Indicator | Comment |
|---|--|--|
| Integration of RM into Culture of Council and Raising Awareness of RM | <ul style="list-style-type: none"> ➤ Staff recognising their role and responsibility for RM in their area. ➤ Number of reports for decision that demonstrate risk assessment. ➤ Responses to Audit and Inspection reports ➤ Number of monitored risk registers | <ul style="list-style-type: none"> ➤ By annual survey of staff (extend current surveys) ➤ By audit of reports and documentary evidence of decisions ➤ By audit of responses |
| Enabling Change | <ul style="list-style-type: none"> ➤ Post event assessment of how we managed individual major changes | <ul style="list-style-type: none"> ➤ Examples can include new projects, partnerships. |
| Minimisation of losses, injury and inconvenience | <ul style="list-style-type: none"> ➤ Number and length of disruptions to services ➤ Levels of Fraud ➤ Level of complaints, claims etc. | <ul style="list-style-type: none"> ➤ Measure response and recovery performance as well as well as frequency ➤ Informed by |

| | | |
|---------------------------|---|--|
| | <ul style="list-style-type: none"> ➤ Levels of Write-offs ➤ Level and cost of claims ➤ Level of accident reports ➤ Level & no. of RIDDOR reportable accidents ➤ Number of risk assessments ➤ Number of claims | <p>strategies and processes</p> <ul style="list-style-type: none"> ➤ Bench marking data from CIPFA & NFI ➤ Assessnet reports and HSE involvement ➤ Monthly risk management report |
| Risk Management Framework | <ul style="list-style-type: none"> ➤ Feedback from staff ➤ Compliance with standards | <ul style="list-style-type: none"> ➤ Did we do it? ➤ Is it any good? |
| Minimising Cost of Risk | <ul style="list-style-type: none"> ➤ Annual Insurance Premiums ➤ Level of Reserves ➤ Uninsured Losses ➤ Management and Project Costs | <ul style="list-style-type: none"> ➤ Will incorporate budget and capital project overspends, fraud, write-offs, claims, premiums etc. plus any loss in external resources |

7.2 National membership and participation with risk management organisations such as ALARM (The Public Risk Management Association), Institute of Risk Management and the CIPFA Better Governance Forum is critical for networking, best practice and sharing information. CBC will also be a member of the CIPFA benchmarking group for insurance and will provide data to the National Fraud Initiative.

8. Author

Elaine Taylor, Head of Strategic Risk , Ext. 42037

9. Appendices

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|------------|--|
| Appendix 1 | Risk Management Policy Statement |
| Appendix 2 | Health & Safety Policy Statement |
| Appendix 3 | Corporate Risk Management Group Terms of Reference |
| Appendix 4 | Risk Management Roles & Responsibilities |
| Appendix 5 | Reporting Lines |
| Appendix 6 | Communication Plan |
| Appendix 7 | Actions/Challenges for Embedding Risk Management |
| Appendix 8 | Risk Register template & parameters |

CORPORATE RISK MANAGEMENT POLICY STATEMENT

The Council believes that risk is a feature of all business, and is a particular attribute of the more creative of the Council's strategic developments. Some risks will always exist and can never be eliminated: they therefore need to be appropriately managed.

The Council recognises that it has a responsibility to manage hazards and risks and supports a structured and focused approach to managing them by approval each year of a Corporate Risk Management Strategy.

In this way the Council will improve its ability to achieve its corporate objectives and enhance the value of services it provides to the community.

The Council's objectives will be achieved by:

- Establishing clear roles, responsibilities and reporting lines within the Council for risk management
- Incorporating risk management in the Council's decision making and operational management processes
- Reinforcing the importance of effective management of risk through training and providing opportunities for shared learning
- Incorporating risk management considerations into Service/Business Planning, Project Management, Partnerships & Procurement Processes
- Monitoring risk management arrangements on a regular basis

Jaki Salisbury
Interim Chief Executive

Tricia Turner
Leader of the Council

Corporate Health and Safety Policy Statement

The Council is committed to achieving and maintaining high standards in health and safety. The Council's Members, Corporate Management Team and Executive is responsible for health safety and welfare of all our employees and members of the public that use or are affected by our services.

The Council will ensure that health and safety remains a priority and forms an integral part of the council's activities and decision making processes. Our responsibilities will be reviewed regularly and our commitment towards health and safety communicated and demonstrated throughout the organisation.

It is vital that we identify and assess risks and manage these appropriately. The Council is focused on the prevention of injury and ill health of its staff and those who may be affected by the Council's activities, through the continual improvement in its Health & Safety management and performance. This will be achieved through embedding our risk management framework throughout the council.

We recognise that much of our work is in partnerships and working with other stakeholders. Therefore, we would expect these partnerships and other stakeholders to have exemplary standards in health and safety.

To make this a success we need all Members and employees of Central Bedfordshire Council and partners, to join us in the ownership of this policy so that we can continue to provide quality services to our customers and provide a healthy and safe place to work.

The Council's objectives will be achieved by:-

- Providing a robust health and safety management system
- Ensuring roles and responsibilities are understood and communicated throughout the organisation and to stakeholders
- Providing a comprehensive health and safety training programme for Members, employees, and partners
- Reviewing health and safety compliance through monitoring, audits and inspections
- Monitoring partnerships and stakeholders compliance and best practice
- Consult with staff, trade unions, the Health & Safety Executive, emergency services and other bodies such as public institutions on health & safety issues.

Jaki Salisbury
Interim Chief Executive

Tricia Turner
Leader of the Council

CORPORATE RISK MANAGEMENT GROUP TERMS OF REFERENCE

The Corporate Risk Management Group (CRMG) will focus and co-ordinate management of risk related activities throughout the Council to facilitate the identification, evaluation and management of all key business risks.

Criteria for Membership

Members to be directors or senior officers responsible for services and directorate risk management.

Membership

Chairman Director of Corporate Resources or AD Audit & Risk

Members Director of Transformation or Appropriate AD
 Director of Children, Families & Learning or Appropriate AD
 Director of Social, Health and Housing or Appropriate AD
 Director of Sustainable Communities or Appropriate AD
 AD Audit & Risk
 Head of Strategic Risk

Authority

The Group is authorised by CMT to carry out any activity within its terms of reference.

Duties

The Group will focus on the management of risk with the following objectives:

- To raise the level of management awareness and accountability for the business risks experienced by the Council.
- To develop management of risk as part of the culture of the Council.
- To provide a mechanism for risk issues to be discussed and disseminated to all areas of the Council.
- To provide advice on the co-ordination of risk management strategies with the following objectives:
 - To co-ordinate activities to obtain a more effective risk management process from existing resources.
 - To prioritise and accelerate those risk management strategies that are critical to the achievement of corporate objectives
 - To ensure that actions required are given the appropriate level of sponsorship and support

- To receive and act upon areas of concern in relation to Internal Audit work undertaken
- To be aware and have regard for Resilience issues within the Council and County of Bedfordshire by having regard for and understanding roles, responsibilities and the risks and priorities as identified in the BLLRF Community Risk Register
- To ensure the council meets its health and safety responsibilities by:
 - Ensuring systems are in place for identifying and managing risk and meeting compliance with statutory regulations
 - Ensuring health and safety risks identified are given the appropriate level of action within the council
 - Supporting and promoting a positive health and safety culture

Reporting Procedures

The Technical Support Officer shall circulate the minutes of meetings to all members of CMT.

The Chairman will report quarterly to CMT on progress against the Corporate Risk Management Strategy and work carried out by the Corporate Risk Management Group

Frequency of Meetings

Meetings will be held four times a year. Additional meetings may be held if considered necessary.

The chairman and every member or nominee is expected to attend.

The Group may from time to time consult other officers and request their attendance on an adhoc basis such as Resilience, Human Resources, Health & Safety, Property and Insurance Broker.

The terms of reference will be reviewed at least annually as part of the Corporate Risk Management Strategy.

RISK MANAGEMENT ROLES AND RESPONSIBILITIES

This strategy details our responsibilities for risk management including health and safety for all levels of management and employees.

Leader of the County Council

To ensure the work of the Executive and Full Council is conducted in accordance with Council policy and procedures for management of risk and with due regard for any statutory provisions set out in legislation.

Chief Executive

The Chief Executive takes overall responsibility for the Council's risk management performance and in particular is required to ensure that:

- Decision-making is in line with Council policy and procedures for management of risk and any statutory provisions set out in legislation;
- Adequate resources are made available for managing risk;
- Management of risk performance is continually reviewed;
- Suitable action plans for improving health and safety are developed and implemented ;
- There is an understanding of the risks facing Central Bedfordshire Council;
- There is an active and supporting role provided by Council Officers to the communities of Central Bedfordshire in times of emergency.

Members

- Take reasonable steps to consider the risks involved in the decisions taken by them
- Have an understanding of the risks facing Central Bedfordshire Council.
- There is an active and supporting role provided by Council Officers to the communities of Central Bedfordshire in times of emergency.
- Ensure that all the decisions they make are in line with Council policy and procedures for health and safety and any statutory provisions set out in legislation. This principle is to be borne in mind by all committees and during contacts with employees and members of the public.

The Executive

- Maintain an understanding of risk management and its benefits
- Have an understanding of the risks facing Central Bedfordshire Council.
- Monitor the Strategic Risk Register
- Assign health and safety responsibility to a Member of the Executive;

Audit Committee

- Agree and endorse the Corporate Risk Management Strategy
- Develop and implement an effective framework for managing risk
- Review and scrutinize the implementation and effectiveness of Corporate Risk Management Strategy

Corporate Management Team

- Approve the Corporate Risk Management Strategy and related policies
- Maintain an understanding of the management of risks and its benefits
- Promote and oversee the implementation of the Corporate Risk Management Strategy
- Identify and manage the strategic risk register on a periodic basis
- Have an understanding of the risks facing Central Bedfordshire Council.
- The Director of Corporate Resources ensures there is an effective risk management framework in place
- That the Director of Corporate Resources has responsibility for regular monitoring of the Risk Registers

Directors/Assistant Directors

- Responsible for Directorate, Service Risk registers and allocation of resources to control/minimize risk
- Responsible for production testing and maintenance of Resilience Plans and allocation of resources
- Responsible for completion of Risk Management Self Assessment
- Ensure that Risk Management roles and responsibilities and performance management targets are included within appropriate job descriptions
- To have an understanding of the risks facing Central Bedfordshire Council
- To ensure adequate resources are available to successfully manage health and safety within their Directorate;
- Ensure the Corporate Health and Safety Policy and any guidance/procedures are implemented and managed effectively within their areas of responsibility.

Heads of Service

- Promote Risk Management and H&S and ensure it is implemented effectively across services
- Establish training requirements with regard to strategy implementation
- Review Service risk registers quarterly
- Have an understanding of the risks facing Central Bedfordshire Council
- To ensure that all employees are made aware of their responsibilities and duties in respect of health, safety and welfare and that they are provided with sufficient information, instruction, training and supervision to enable them to carry out their duties effectively and safely.

- Ensure that all employees are aware of the risk assessments appropriate to their activity.
- To report and investigate accidents and incident, diseases and dangerous occurrences in accordance with Company procedure and implement recommendations and remedial action following the accident, where appropriate.

All Staff

- To identify risks and report potential hazards to line managers
- To follow the Corporate Health & Safety Policy and procedures for managing health and safety
- To work in a safe manner not putting yourself or others at risk

Corporate Risk Management Group

- Co-ordinate Risk Management activities across the Council
- Share good practice on all aspects of Risk Management
- Feed into strategy development and review
- Assess the Strategic, Directorate & Service Risk Registers
- Assess Resilience Plans
- Have an understanding of the risks facing Central Bedfordshire Council

Schools

All schools should have a local school Health & Safety policy in place that is compliant with the relevant Health & Safety legislation.

All schools should be aware of the Council's Corporate Health and Safety policy.

Schools should be aware of the Critical Incidents in Schools Guidance and have local arrangements in place.

Partners and Contractors

The Council expects third parties upon which it relies (including contractors, partners, associates and commissioned Independents) to:

- Comply with the Risk Management policies and procedures and demonstrate exemplary standards in health and safety
- Work safely, comply with all relevant health, safety legislation and have in place appropriate sources of health and safety advice.
- Provide and evidence all Business Continuity procedures that relate to services provided and additional support that has been agreed

Internal Audit

- Provide assurance on the implementation of the Corporate Risk management Strategy

- Provide assurance on the robustness of the Council's management of risks
- Provide assurance on Resilience

Risk Management Team

- Support the process for the development of the Corporate Risk Management Strategy
- Promote, support and oversee its implementation
- Monitor and review the effectiveness of Corporate Risk Management Strategy
- Identify and communicate Risk Management issues to services, project managers, contractors and partner organisations.
- Assist services in Risk Management activity through training and/or direct support
- To ensure risk financing arrangements are appropriate once risks have been considered
- To ensure compliance with legislation, Health & Safety, Risk Management and the Civil Contingencies Act 2004

Framework for Risk Management Reporting Lines

| Group | Description |
|--|--|
| Executive (Reporting Annually) | Corporate Risk Management Strategy & Strategic Risk Register |
| Audit Committee (Reporting Quarterly) | Review and Scrutinise implementation of Corporate Risk Management Strategy. Review Strategic Risk Register & Annual Governance Statement following declarations from Directors |
| Corporate Management Team (Monthly) | Ensure that Corporate Risk Management Strategy is approved and implemented considering the strategic risks affecting the Council. Directors give personal declaration on Risk Management Assurance regarding compliance |
| Corporate Risk Management Group (Reporting Quarterly) | Develop strategy and framework, implement & monitor. Monitor and review strategic risk register and directorate risk registers. Monitor the Risk Financing Strategy |
| Senior Management Teams (Reporting Monthly) | Implement strategy and monitor directorate and service risk registers, report back on progress or emerging issues. |
| Service Managers (Reporting Monthly (*where appropriate) to Officers with risk management responsibilities) | To manage risk effectively in their service area and report on how hazards & risks are managed to SMTs |
| Employees | To manage risk as part of their job and report hazards or risks to their Service Managers. |

Communication Plan 2009/10

| Description | Audience | Responsible | Target |
|---|------------------------------|--------------------|-------------------------------|
| Risk & Reward Quarterly Newsletter | Councilwide/Partners/Schools | ET | May, Aug & Nov 09, Feb 10 |
| Risk Management Guidance Handbook | Councilwide/Schools | ET, SC | April 09 |
| Risk Management Leaflet | All Council Employees | ET, SC | April 09 |
| Intranet IA/RM site | Councilwide/Schools | ET, SC | April/May 09 |
| Internet | Councilwide/Partners/Schools | ET, SC | April/May 09 |
| Events : - Schools Risk Awareness Event | Councilwide, Schools | ET, SC | Nov 09 & Feb 10 |
| Risk Awareness Week | | ET, SC | Sept 09 |
| H&S Awareness Week | | SC, ET | Oct 09 |
| Reports: *Monthly Situation Report to Schools | Schools | ET, SC | Monthly 09/10 |
| *Monthly Situation Report to AD's | AD's | ET, SC | Monthly 09/10 |
| Quarterly Progress Report to Audit Committee | Committee | ET, NM | Quarterly 09/10 |
| Six monthly report to CMT – Strategic RR | CMT | ET, NM | Sept 09, Mar 10 |
| Quarterly report to CMT – Progress CRM Strategy | CMT | ET, NM | 2009/10 (after CRMG meetings) |
| Quarterly Report to CRMG | CRMG | ET | 2009/10 |
| Displays | Councilwide | JG | Monthly 09/10 |
| Notice Boards | Councilwide | JG | Bi-monthly 09/10 |
| Posters | Councilwide | JG | As required |
| RM & H&S Policies | Councilwide | JG | April 09 |
| Risk Registers: - Strategic, Directorate, Service, Project, Contract and Partnership | Councilwide – web access | ET | 2009/10 |
| Establish links with : | Internal Audit | ET | Support Audit |

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| Internal Audit | | | Plan |
| Establish Links with: Property | Property Team | ET | Quarterly Meetings |
| RM and H&S - Codes of Practice | Councilwide/ Schools | ET, SC | 2009/10 |
| RM – core competency of Induction for new employees and management | Councilwide | ET,SC | Jointly with IA |
| Elected Member Training programme of RM and H&S awareness training | Committees and wider groups | ET,SC | Specific training and invited to all events |
| Risk Management Training Programme | Councilwide/ Schools | ET, SC | April 09 onwards |

Risk Management Action Plan 2009/10

Appendix 7

| Action | Detail | Responsibility | Resources required | Target | Status |
|---------------------------------------|---|-----------------------------|--------------------|--------|---|
| 1. Corporate Risk Management Strategy | Develop, sign and adopt a Corporate Risk Management Strategy incorporating the following policy statements: Corporate Risk Management and Health & Safety. Sign off by Leader & C Ex. Report to appropriate committees ??. | Elaine Taylor & H&S Manager | | Mar-09 | Draft strategy, public strategy & covering report |
| | Review Risk Assessment Framework for RM & H&S and produce guidance | Elaine Taylor & H&S Manager | | Mar-09 | Include within Strategy |
| 2. Communication | Develop a Communication Plan as part of the Corporate Risk Management Strategy | Elaine Taylor | | Mar-09 | Include within Strategy |
| | Develop a RM handbook to be issued to all staff with basic information on Risk Management and Health & Safety | Elaine Taylor | | Jun-09 | Draft with creativity |
| | Letter to all schools from C Ex on H&S responsibilities | H&S Manager | | Apr-09 | |
| | Intranet/website to be updated with Codes of Practice. Supply hardcopies to the few establishments that do not have access to the intranet. Agree format and style of guidance. Refer to separate Guidance.Plan.Policies worksheet. In particular CDM, Asbestos, Legionella, Lone working, Violence & Agression, Stress, First Aid | H&S Manager | | Jun-09 | |
| | Produce leaflet on RM and H&S service, including contact details and distribute to staff and supply HR with copies for new staff. | Elaine Taylor | | Apr-09 | Draft with creativity |

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| | Risk & Reward Newsletter developed and programmed for every quarter - sent out electronically and in hard copy | Elaine Taylor & H&S Manager | | Apr-09 | Template being drafted by creativity |
| | Review Code of Practice for Risk Management & Insurance and H&S (for managers) | Elaine Taylor & H&S Manager | | May-09 | |
| | Events such as: Risk Awareness for Schools, Risk Awareness Week & European H&S Week | Elaine Taylor & H&S Manager | | Jun-09 | Part of communication strategy |
| | Monthly Performance report on Risk Management to AD's | Elaine Taylor | | Jun-09 | Draft with creativity |
| | Review and develop guidance material: Safehands RM Scheme for Schools, Security Guidance and Schools Bulletins. | Elaine Taylor & H&S Manager | | Jun-09 | Drafted safehands, timetable of key bulletins being produced |
| 3. Corporate Risk Management Group & Risk Sub Group | Revise ToF R, service and develop group. | Elaine Taylor | | Jun-09 | Part of CRMS |
| | Establish & Monitor Risk Management Fund | Elaine Taylor | | Jun-09 | Part of CRMS |
| | Prepare agenda & reports for CRMG | Elaine Taylor | | Jun-09 | |
| 4.CAA | Research & start data collection for CAA for 2009/10 | Elaine Taylor | | Sep-09 | |
| 5.BSI | Aim for BSI Compliance for RM & H&S. Establish pilot programmes. | Elaine Taylor & H&S Manager | | 2009/10 | |
| 6.Assurance Governance Statement | Support preparation of Service Packs for depts and signed Assurance Statements for inclusion with accounts | Elaine Taylor | | Jan-10 | |
| 7.Performance Management | Continue to monitor and develop performance indicators for functions | Elaine Taylor | | 2009/10 | |

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| 8. Strategic Risk Register | Develop and report on Strategic Risk six monthly and report to Management Team | Elaine Taylor | | May-09 | |
| 9. Directorate Risk Registers | Develop & review all Directorate Risk Register quarterly and report to Senior Management Teams & Corporate Risk Management Group | Elaine Taylor | | Mar-09 | |
| | Compare Service Plans to Directorate Risk Registers Annually | Elaine Taylor | | Sep-09 | |
| 10. Project Risk Registers | Establish a record of all projects and risk registers and report to Corporate Risk Management Group. | Elaine Taylor | | Sep-09 | |
| 11. Partnership Risk Registers | Establish a record of all partnerships and risk registers and report to Corporate Risk Management Group. | Elaine Taylor | | Sep-09 | |
| 12. Support to key projects on risk management | Provide advice & support to key projects such as Payroll, Bupa, BSF & Waste project management | Elaine Taylor | | 2009/10 | |
| 13. Software | Implement on-line accident database system. | H&S Manager | | Jun-09 | |
| | Develop and populate risk register database | Elaine Taylor | | Sep-09 | |
| | Develop and populate claims handling database | Elaine Taylor | | Jun-09 | |
| 14. Corporate Training Programme | Develop and implement a comprehensive corporate training programme. Review and measure impact of training annually. | Elaine Taylor & H&S Manager | | Apr-09 | Drafted with creativity |
| 15. Benchmarking | CIPFA insurance benchmarking club to provide comparison with other authorities on insurance and claims history | Elaine Taylor | | Jul-09 | |

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|-------------------------------|--|-------------------------------|--|---------|
| | Provide data to National Fraud Initiative for comparison and to identify potential fraudulent claims | Elaine Taylor | | Sep-09 |
| 16.Fire Safety | Ongoing support and training for Headteachers and Managers. Audit schools to check Fire Risk assessments have been completed. | H&S Manager | | Jun-09 |
| | Develop a spreadsheet to record Fire Authority visits and actions. RM to monitor requirements/recommendations with Property section. | H&S Manager /Property Section | | Sep-09 |
| | Complete Fire RA for all major CBC buildings | H&S Manager | | Jul-09 |
| 17. H&S Audit and Inspections | Plan Audit programme based on risk and responses to monitoring forms received and send out to other premises. | H&S Manager | | Jul-09 |
| | Asbestos Inspections monitoring | H&S Manager | | 2009/10 |
| | Legionella testing programme monitoring | H&S Manager | | 2009/10 |
| 18. Partners and Contractors | Agree standards for H&S performance with external partners and reporting processes | H&S Manager | | May-09 |
| | Ensure the Councils contract procurement requirements include assessment of health and safety and risk management. Provide support by reviewing contracts. | Elaine Taylor & H&S Manager | | May-09 |
| | High level audit of Mouchel and Amey. Audit to include asbestos management and CDM compliance - in conjunction with Internal Audit | H&S Manager | | Jul-09 |
| 19.Highways Rechargeables | Monitor and effect recharges to third parties on behalf of the council. CBC to deal with run-off. | Elaine Taylor | | 2009/10 |

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|----------------------------------|--|-----------------------------|--|---------|
| 20. Insurance Renewal | Monitor Long Term Agreement. | Elaine Taylor | | 2009/10 |
| 21. Internal Insurance recharges | Effect internal insurance recharges for all classes of business for 2009. | Elaine Taylor | | Mar-09 |
| 22. Security | Review of security following changes in major CBC premises | Elaine Taylor | | Apr-09 |
| 23. Committees/ Meetings | Attendance at Audit, Standards Committees. EJC, JNC & JCC union meetings | Elaine Taylor & H&S Manager | | Apr-09 |
| 24. BCC claims runoff | Monitor and report on claims run-off | Elaine Taylor | | 2009/10 |
| | Monitor insurance fund | Elaine Taylor | | 2009/10 |
| | Monitor Imprest A/C | Elaine Taylor | | 2009/10 |
| | Organise an actuarial review bi-annually | Elaine Taylor | | Sep-09 |
| 25. CBC Insurance Fund | Monitor insurance fund | Elaine Taylor | | 2009/10 |
| | Monitor Imprest A/C | Elaine Taylor | | 2009/10 |
| 26. Insurance Broker | Re-tender contract | Elaine Taylor | | Oct-09 |
| 27. Schools | H&S advice | H&S Manager | | 2009/10 |
| | Pursue schools forum - retention of funding to ensure statutory checks are carried out in schools. | H&S Manager | | 2009/10 |
| | Insurance advice | Elaine Taylor | | 2009/10 |
| | RM advice | Elaine Taylor | | 2009/10 |

Risk Matrix for use with JCAD Risk Register Software. This scoring gives the following risk ranking:

Appendix 8

- High risk** - score of 16-25
- Medium risk** - score of 8-15
- Low risk** - score of 1-7

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|--------------------|-------------|---|------------------|----------------------|----------------------|----------------------|----------------------|
| Probability | Very Likely | 5 | Low (5X1 = 5) | Medium (5X2 = 10) | Medium (5X3 = 15) | High (5X4 = 20) | High (5X5 = 25) |
| | Likely | 4 | Low (4X1 = 4) | Medium (4X2 = 8) | Medium (4X3 = 12) | High (4X4 = 16) | High (4X5 = 20) |
| | Possible | 3 | Low (3X1 = 3) | Low (3X2 = 6) | Medium (3X3 = 9) | Medium (3X4 = 12) | Medium (3X5 = 15) |
| | Unlikely | 2 | Low (2X1 = 2) | Low (2X2 = 4) | Low (2X3 = 6) | Medium (2X4 = 8) | Medium (2X5 = 10) |
| | Rare | 1 | Low (1X1 = 1) | Low (1X2 = 2) | Low (1X3 = 3) | Low (1X4 = 4) | Low (1X5 = 5) |
| | | | | 1 Low | 2 Reasonable | 3 Major | 4 Severe |
| Impact | | | | | | | |

IMPACT & PROBABILITY (LIKELIHOOD) DESCRIPTIONS - This table helps to define levels of impact and probability:

| Impact: | Service Delivery | Financial Loss | Reputational | Health & Safety |
|---------------------|---|-----------------------|---|---|
| Catastrophic | Total system disfunction Total shutdown of operations. | Over £5m | Key person resignation/ removal Sustained adverse publicity in national media | Fatality or permanent disability (single event) |
| Severe | All operational areas of a location compromised Other locations may be affected | Up to £5m | Sustained adverse publicity in national media Board and Member dissatisfaction | Greater than 6 months absence for more than 5 people (single event) |
| Major | Disruption to a number of operational areas within a location and possible flow on to other locations | Up to £1m | Significant adverse publicity national media | Greater than 20 days absence for more than 5 people (single event) |
| Reasonable | Some disruption manageable by altered operational routine | Up to £250k | Significant adverse publicity in local media | Short term absence for up to 5 people (single event) |
| Low | No / minimal interruption to service. | Up to £100k | Minor adverse publicity in local media | Short term absence for up to 5 people (single event) |

| Probability: | Indicators |
|---------------------|--|
| Very Likely | Likely to occur every 10+ years/up to a 10% chance of occurrence |
| Likely | Likely to occur every 10 years/up to a 20% chance of occurrence |
| Possible | Likely to occur every 5 years/up to a 40% chance of occurrence |
| Unlikely | Likely to occur every 3 years/up to a 60% chance of occurrence |
| Rare` | Likely to occur each year/over 60% chance of occurrence |