

**NORTH LINCOLNSHIRE COUNCIL**

**AUDIT COMMITTEE**

**RISK MANAGEMENT STRATEGY 2009/2010**

**1. OBJECT AND KEY POINTS IN THIS REPORT**

1.1 To approve the risk management strategy for 2009/2010.

1.2 The key points in this report are as follows:

- The Risk Management Strategy is an important source of assurance for the Audit Committee as the strategy describes the council's risk management framework, the work completed during the year and a comprehensive action plan for the forthcoming year.
- The Comprehensive Performance Assessment Use of Resources rated Risk Management arrangements as 3 –performing well.
- The Strategic Risk Management Group (SRMG) has successfully achieved most of the action plan for 2008/2009.
- Work planned for 2009/2010 can be summarised as:
  - Standing items to maintain and improve the risk management framework
  - Work carried forward from 2008/2009 to be completed e.g. completion of work on determining the council's approach on money laundering.
  - New items for 2009/2010 e.g. review IT and Data Quality risks in the light of Initiatives such as Worksmart and Government Connect.

**2. BACKGROUND INFORMATION**

- 2.1 On 12 March 2002 cabinet approved a report 'Corporate Governance & Risk Management'. This introduced comprehensive risk management arrangements across the council. A risk management strategy was developed which has been reviewed each year. A copy of the proposed strategy for 2009/2010 is given in appendix A. It contains standing items to maintain and improve the risk management framework, work carried forward from 2008/2009 to be completed ad new items for 2009/2010.

- 2.2 Good progress has been made on the council's risk management arrangements. The Strategic Risk Management Group (SRMG) has been successful in achieving most of the action plan set for 2008/2009. Strategic and operational risks are identified and controls are monitored and managed risk registers. Other work completed include a review of business continuity arrangements for all significant contractors or suppliers and reviews of risk management arrangements in significant contracts such as Building Schools for the Future, Highways Alliance and the Waste contract. Other work has been identified and listed in the 2008/2009 action plan.
- 2.3 The Comprehensive Performance Assessment Use of Resources rated Risk Management arrangements as 3 – consistently above minimum requirements - performing well. The main reasons leading to this result are that the risk management strategy is regularly reviewed; risk registers are maintained and reviewed; training is in place for relevant staff and members; key business risks are being monitored and managed and reported to members
- 2.4 The risk management strategy and action plan helps to prioritise work to areas of highest risk to the council. The agreed action plan for 2009/2010 can be summarised as:
- Standing items to maintain the risk management framework
  - Work carried forward from 2008/09 to be completed e.g. money laundering.
  - New items for 2009/2010 e.g. review IT and Data Quality risks in the light of Initiatives such as Worksmart and Government Connect.
- 2.5 The Risk Management Strategy and action plan and quarterly progress reports provide important sources of assurance to the Audit Committee that all significant risks to the council achieving its aims and objectives are adequately managed. The council's high level commitment to corporate governance and risk management will inform the Annual Governance Statement that the Audit Committee will be invited to approve for inclusion the annual report and accounts.

### **3. OPTIONS FOR CONSIDERATION**

- 3.1 The Committee is asked to consider whether the Risk Management Strategy provides sufficient assurance on the adequacy of the council's risk management arrangements in 2008/2009 and, whether the proposed work plan will deliver similar assurance in 2009/2010. Members may wish to ask questions and seek clarification as necessary. If it concludes that it does provide sufficient assurance the Committee is invited to approve the Risk Management Strategy and action plan 2009/2010.
- 3.2 The Committee may decide not to approve or amend the Risk Management Strategy and action plan 2009/2010.

#### **4. ANALYSIS OF OPTIONS**

- 4.1 The Risk Management Strategy and action plan 2009/2010 complies with professional guidance available and is designed to provide this Committee with the assurance required. Members should ask sufficient questions to ensure the strategy and action plan will provide sufficient assurance to fulfil their role as set out in the Committee's terms of reference.
- 4.2 The option set out in 3.2 represents an opportunity missed to receive an important source of assurance to assist the Committee to fulfil its role effectively.

#### **5. RESOURCE IMPLICATIONS (FINANCIAL, STAFFING, PROPERTY.IT)**

- 5.1 Resources are met from the Internal Audit and Risk Management budget.
- 5.2 Sound risk management arrangements should help safeguard the council's assets and minimise unexpected costs associated with loss, waste or remedial action. There are no staffing, property or IT implications.

#### **6. OTHER IMPLICATIONS (STATUTORY, ENVIRONMENTAL, DIVERSITY, SECTION 17 – CRIME AND DISORDER, RISK AND OTHER)**

- 6.1 Robust risk management arrangements are vital to support the Chief Financial Officer to discharge his duties under the provisions of the section 151 of the Local Government Act 1972.
- 6.2 The evaluation of the council's arrangements will help to promote good corporate governance. Risk management work is a component of the council's internal control framework and a key source of assurance to support the Annual Governance Statement. The risk management framework addresses all key risks the council may face. It promotes appropriate action to manage risks to an appropriate level.
- 6.3 A Diversity Impact Assessment has been completed. There are no diversity implications to report.

#### **7. OUTCOMES OF CONSULTATION**

- 7.1 The draft strategy has been agreed by the Strategic Risk Management Group. The group is made up of representatives from each service and is therefore the outcome of a comprehensive consultation process.

## **8. RECOMMENDATIONS**

- 8.1 The Audit Committee should consider the assurance provided by the Risk Management Strategy and action plan on the adequacy of the council's risk management arrangements in 2008/2009, and whether the proposed work plan will deliver similar assurance in 2009/2010.
- 8.2 The Audit Committee approves the Risk Management Strategy for 2009/2010.

SERVICE DIRECTOR FINANCE

Pittwood House  
Ashby Road  
SCUNTHORPE  
DN16 1AB  
Author: Carol Andrews  
Date: 18 March 2009

**Background papers used in the preparation of this report:**

**Risk management strategy 2009/2010**

# Managing **RISK**

## Risk Management Strategy & Action Plan 2009/2010

# North Lincolnshire Council

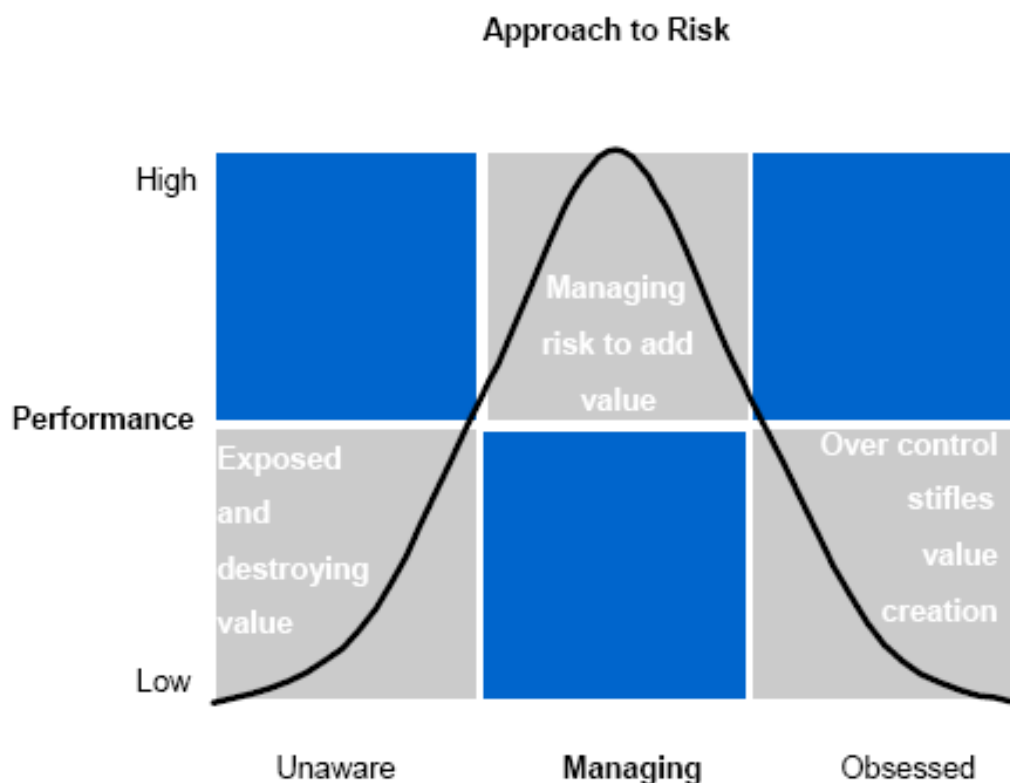
## Risk Management Strategy & Action Plan 2009/2010

### 1. Introduction

North Lincolnshire Council recognises that all aspects of business risk must be managed. In 2002 the council demonstrated its commitment to managing risks by adopting a comprehensive risk management process, which has become permanently established as a management tool within the council.

The council has developed a comprehensive risk management strategy, which has been embedded throughout the council. The purpose of the Strategy is to effectively manage potential opportunities and threats to the council and key partners in achieving its ambitions and priorities. This can be done by not only managing the risks that may result in losses but also seek to maximise the rewards that can be gained by managing risk.

The aim is to manage risk rather than eliminate it. Inadequate control of risk could lead to waste, loss and poor performance. Excessive risk control can increase costs, stifle opportunities for developing effective partnerships, service delivery improvements and provides poor value for money. Successful risk management means getting the balance right, thereby adding value.



The council's Strategic Risk Management Group (SRMG) oversees the Strategy. The strategy is reviewed annually and an action plan of work is developed for the forthcoming year.

The objectives of North Lincolnshire Council's risk management strategy are to:

- ◆ Promote effective corporate governance arrangements by embedding risk management into its routine day- to- day operations.
- ◆ Support the strategic aims and objectives of the council.
- ◆ Integrate risk management into the culture of the council.
- ◆ Manage risks (both threats and opportunities) in accordance with best practice
- ◆ Anticipate and respond to changing social, environmental, technological and legislation requirements
- ◆ Prevent injury, damage and losses and reduce the cost of risk.
- ◆ Raise awareness of the need for risk management by all those connected with the council's delivery of services, including strategic partners, contractors, etc.
- ◆ Maximise the rewards that can be gained through effective risk management

These objectives will be achieved by:

- ◆ Establishing clear roles, responsibilities and reporting lines within the council for risk management
- ◆ Embedding a clear framework for dealing with risk management issues within the council's processes and procedures which will include promotion of good risk management practices
- ◆ Providing opportunities for shared learning on risk management across the council and with other councils through benchmarking
- ◆ Offering a platform for identifying, reviewing and prioritising and managing risk areas (strategic and operational)
- ◆ Reinforcing the importance of effective risk management as part of everyday work of employees
- ◆ Making all partners and other providers aware of the council's risk management expectations
- ◆ Incorporating risk management considerations into efficiency reviews of services
- ◆ Incorporating risk management into the annual business performance plans of the services
- ◆ Incorporating risk management in decision making processes
- ◆ Monitoring risk management arrangements on an ongoing basis
- ◆ Developing a framework to allocate resources to identified priority risk areas.
- ◆ Developing arrangements to measure performance of risk management activities against the council's aims and objectives

## **2. The corporate risk management framework**

The council is committed to the principles of good corporate governance and has adopted the revised guidance and framework recommended by CIPFA/SOLACE. Risk Management and Internal Control are vital components of the best practice Corporate Governance framework. The Annual Governance Statement (AGS) (which replaces the Statement on Internal Control) requires councils to include a statement on the adequacy of the internal control and governance arrangements. This is reported with the council's Statements of Accounts each year.

The Strategic Risk Management Group has been instrumental in developing the council's risk management arrangements. This has resulted in the development of a Risk Management Framework, which comprises the following components

<b>Audit Committee</b>	<p>This is the member group that gives support and leadership for risk management arrangements.</p> <p>The group approves, annually, the Risk Management Strategy &amp; Action Plan, which includes the corporate risk management framework. It will also receive regular progress reports on risk management issues to provide assurance that all significant risk issues are being managed adequately.</p>
<b>Strategic Risk Management Group</b>	<p>This is a council-wide group comprising senior officers and a member representative (Audit Committee chair). The audit committee approves its terms of reference annually. It supports the council and its services in the effective development, implementation and review of the risk management strategy. It shares experience on risk, risk management and strategy implementation across the council. SRMG meet at approximately eight weekly intervals. The Service Director Finance chairs the group. Notes of each meeting are circulated to the Council Management Team; they are also published on intralinc.</p>
<b>Risk Management Strategy (including annual action plan and framework)</b>	<p>This describes the council's approach to Risk Management. The strategy is reviewed each year and sets out an action plan of work for SRMG to lead. The work maintains and develops, through improvements, the council's risk management arrangements. Progress made against the plan is reported regularly to the Audit Committee and at each SRMG (it is also copied to CMT). Internal board?</p>
<b>Strategic Risk Register (SRR)</b>	<p>This is a list of significant risks to the council achieving its ambitions and objectives. The register describes the controls in place and the resultant risks. Responsibility for managing strategic risks and ensuring that improvements to strategic controls are completed has been assigned to senior officers. As new strategic risks arise, the register is updated.</p>
<b>Position Statements (produced in support of the SRR) by EMT/Service Directors</b>	<p>Strategic risks are reviewed each year and each responsible senior officer prepares position statements. The statements describe the adequacy of controls in place and any action necessary to improve them. The outcome of this review is reported to the Audit Committee.</p>
<b>Risk Management in decision-making.</b>	<p>An appraisal of threats and opportunities of various options is undertaken before cabinet/cabinet members take decisions.</p>
<b>Operational Risk Registers</b>	<p>Operational Risk Registers are prepared for all service areas at least annually. These are living documents and will evolve in response to change and emerging risks. The registers describe the adequacy of controls in place to manage risks, which might impair service delivery. They include an evaluation of the likelihood and impact of gross and net risks and action plans for any improvements necessary.</p>
<b>Service Plans</b>	<p>3-year service plans are prepared for all service areas – with an annual improvement summary. They describe the activities of the service area and resources, performance measures and expected outcomes. Each plan includes the key risks to delivery of the strategic and service objectives.</p>
<b>Quarterly Performance Reviews/ Performance Management System (PMS)</b>	<p>Regular reviews of service delivery performance includes the adequacy of risk management arrangements</p>
<b>Annual Governance Statement (AGS)</b>	<p>A governance statement is prepared and published with the council's accounts annually. The AGS describes the adequacy of the council's internal control framework and governance arrangements. The culmination of Risk Management work is a key component. Service Directors provide a statement on the</p>



	adequacy of internal control and governance arrangements within their service area (including partnership working). These include sources of assurance and risks faced by the service.
<b>Internal Audit</b>	Internal audit has adopted a risk based approach to audit planning which simply means targeting high risk areas and making the best use of resources available. The Risk Management Framework is used to inform this process. Internal Audit independently evaluates the Risk Management Framework and the adequacy of controls identified.

Although the above components exist separately most, if not all, of them interact with each other.

The operational risks identified by each service manager in their Operational Risk Register may affect more than one service. An example is **'failure of major IT system'**. This risk may affect all services and is therefore known as a cross-cutting risk. (i.e. a risk that cuts across more than one service of the council): It will therefore also be identified and managed as a strategic risk in the Strategic Risk Register.

The Service Plans identify the activities of each service within the council and their role in delivering the council's priorities, as set out in the Strategic Plan 'Going Forward Together'. Service Plans also contain the main risks of the service as identified in the Operational Risk Registers.

Risks, whether operational or strategic, can identify work for the SRMG and therefore inform the Risk Management Strategy and Action Plan as well as the Internal Audit Plan.

### 3. Progress in 2008/09

The council has continued to make made good progress in maintaining and developing its risk management arrangements over the last financial year. During 2008/2009 the Strategic Risk Management Group (SRMG) has worked on its Risk Management Action Plan. Progress is shown below:

Objective and Action	Responsibility	Progress
<b>STANDING ITEMS</b>		
1. Annual review of SRMG membership, terms of ref., risk management strategy & action plan, and framework for 2009/2010	Strategic Risk Mgt. Group (SRMG)	<b>Completed</b>
2. Annual approval of the risk management strategy & action plan.	Audit Committee	<b>Completed Audit Committee report April 2009</b>
3. Analysis of strategic risks and actions arising from Position Statements provided by Service Directors.	Audit & Risk Manager/SDs	<b>Completed Evaluation of strategic risks reported to Audit Cttee 12 Jan 2009</b>
4. Annual review of the strategic and operational risk controls and achievement of the strategic plan ambitions.	Internal Audit	<b>Completed Strategic Risk controls were evaluated and reported to Audit Cttee 12 Jan 2009. One SR not yet reviewed. Interim review highlighted several operational risk</b>

		registers outstanding. Follow up review planned April 2009.
5. Analysis of operational risks arising from quarterly performance reviews.	SMTs/ Service Division managers/Insurance & Risk Manager/ SRMG	Progress and analysis reported to SRMG 14 Jan 2009. Report to CMT 4 Feb 2009 re restructured services.
6. Training and development programme for the year	SRMG	Risk management competencies have been identified in the workforce planning process.
7. Communication network of newsletters and reports to the Audit Committee etc.	A&RM /Insurance & Risk Manager	Regular reports to the Audit Committee throughout the year. SRMG document library established. Documents on intralinc regularly updated. Newsletter in preparation.
8. Develop a programme of targeted operational risk management actions identified by ORRs & other sources (but excluding insurance claims data) arising from changes in legislation, government guidance/initiatives, etc.	SRMG	Ongoing -Examples of topics are: Health & Safety stats/results, Business continuity plans, Driver checks
9. Review insurance claims data and ensure action taken by management to minimise costs/ service disruption	Insurance and Risk Manager	Ongoing – examples of risk management actions to reduce claims
10. Review risk management arrangements in procurement of key services, works contracts and projects.	Jason Whaler/CA/RW	Ongoing – Matthew Walker presented annual report to SRMG, 14 Jan 2009. Services to carry out financial checks on first tier, second tier, etc. suppliers on service critical contracts.
11. Develop benchmarking data to measure performance on risk management both internally and externally and propose actions.	Audit and Risk Manager	Awaiting ALARM model
12. Review the effectiveness of risk management arrangements against current best practice e.g. CAA Key Lines of Enquiry recommendations	Audit and Risk Manager	Completed. Review showed the arrangements were generally effective.
13. Evaluate the effectiveness of the Audit Committee	CA/SRMG	Completed. Review showed the Cttee was effective but identified opportunities for improvement
14. Review arrangements for major projects/ initiatives. E.g. BSF, Sports Academy	SRMG	As required. - e.g. BSF and Waste Management contracts risk management arrangements were considered

<b>BROUGHT FORWARD FROM 2007/2008</b>		
15. Review Criminal Liability issues for officers arising from new legislation. (MLO, Corp Manslaughter).	CA/SRMG	<b>MLO completed – Internal Audit’s review recommendations being considered. It is intended to take a report to Audit Cttee in April 2009.</b>
16. Provision of risk management training identified in gap analysis - workforce plan.	SRMG & Human Resources	<b>Not yet identified by HR</b>
17. Revise the current risk management framework in the light of the Local Government White Paper proposals and Local Government Bill.	SRMG	<b>On going</b>
<b>NEW ITEMS FOR 2008/2009</b>		
18. Review new governance arrangements for partnership & collaborative working	Internal Audit	<b>Completed Review completed March 2008. Further update to SRMG 18 March 2009</b>
19. Develop the council’s performance management risk management module	Insurance & Risk Manager	<b>In progress, options being investigated.</b>

#### **4. External endorsement**

The self-assessment on Use of Resources produced as part of the Comprehensive Performance Assessment included risk management arrangements. The evaluation carried out by the Audit Commission concluded that *‘The risk management strategy is regularly reviewed. Risk registers are maintained and reviewed. Training is in place for relevant staff and members. Key business risks are being monitored and managed and reported to members via various routes, however, no summary report on the actions taken to manage key business risks is taken to members’*. (A report on Strategic Controls was approved by the Audit Committee on 12 January 2009). *The Council has maintained its level 3 assessment (consistently above minimum requirements - performing well).*

#### **5. Future work**

The council has been successful in its progress on Risk Management. Changes in local government decision making and service delivery processes demand that robust risk management be embedded throughout the work of the council. Increasing demands on budgets and efficiency challenges mean that risk management is even more important. The council will continue to promote the benefits of risk management and ensure arrangements are not onerous thereby providing a workable and cost effective framework which compliments service delivery.

Both Members and Officers will need to be given adequate support and guidance to fulfil their roles. Training needs will be identified through the ‘Leadership and Management Development Framework’ and reinforced through workforce planning evaluation for staff and Personalised Development Plans for Members. Development opportunities on governance issues are also offered to all Members through the corporate training plan and revised induction programme for all new staff. Take up needs to be encouraged and training outcomes evaluated to ensure development needs are met.

As best practice in risk management continues to evolve the council will continue to examine the scope to develop its risk management arrangements. The increasing importance of partnership and collaborative working will bring new and changing risks for the council and will be considered by SRMG. Good governance arrangements exist in respect of many key long-standing partnerships and these were enhanced through the introduction of the

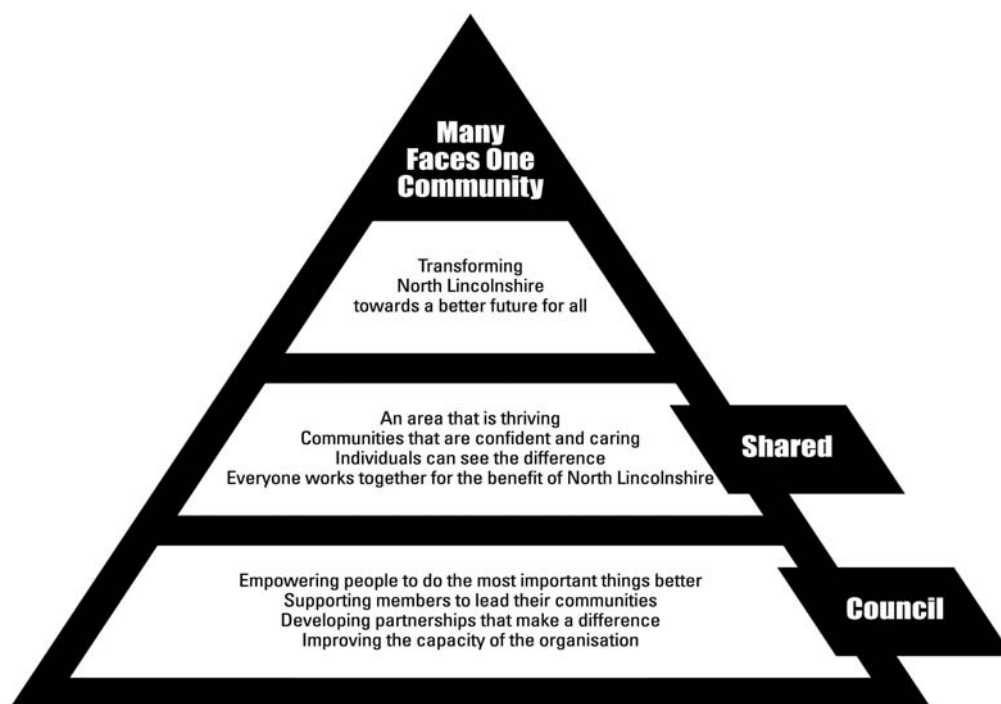
partnership protocol and toolkit. The outcome of this work should be reported to SRMG during 2009/2010.

Challenging efficiency targets will encourage streamlining of processes where possible and partnering in service delivery. Specific initiatives such as Worksmart and other IT developments such as Government Connect will initiate changes to working practices within the council and with partnering organisations. SRMG will need to assess the impact on the council's control environment, recognise new risks that might emerge and ensure appropriate management measures are in place.

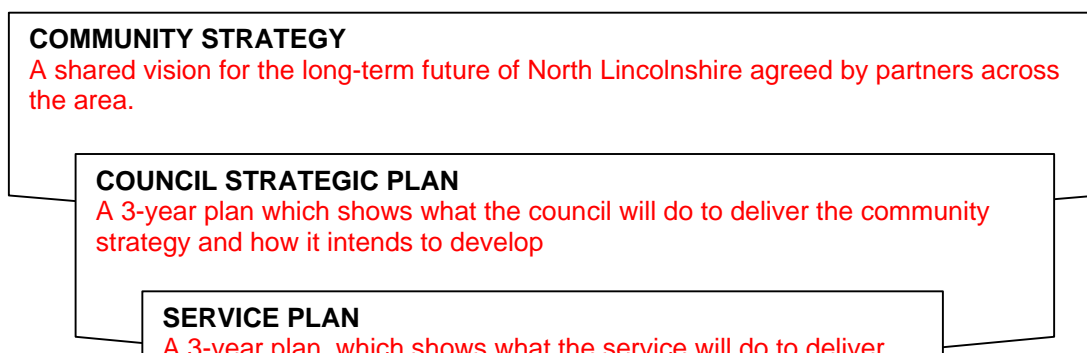
The council's vision is made up of two parts:

**Shared ambitions** – aimed to transform the area, our communities and the lives of individuals who live and work here

**Internal ambitions** that the council has and shows the priorities for development



The planning framework has been strengthened to ensure developments are in line with corporate priorities and aligns resources to them. The planning process identifies the contribution services and individuals have to achieve the shared vision through the community strategy



A key risk for the council is the failure to achieve strategic targets and milestones contained in the strategic plan. The strategic plan is in turn the council's commitment to delivering the community strategy.

Strategic and operational risk registers are living documents, which must be monitored and reviewed periodically. Appendix 1 shows strategic risks mapped to the council's ambitions. SRMG will develop effective review arrangements to target areas of greatest risk. This will be achieved in part through specific audit assignments in the risk-based plan and 'health checks' on other strategic controls. The outcome of the reviews will inform the Annual Governance Statement.

It is vital that risk management is promoted throughout the council. Better use of the council's communication network will be investigated and articles on the work of SRMG prepared for Intralinc and staff newsletters.

## 6. Action Plan for 2009/2010

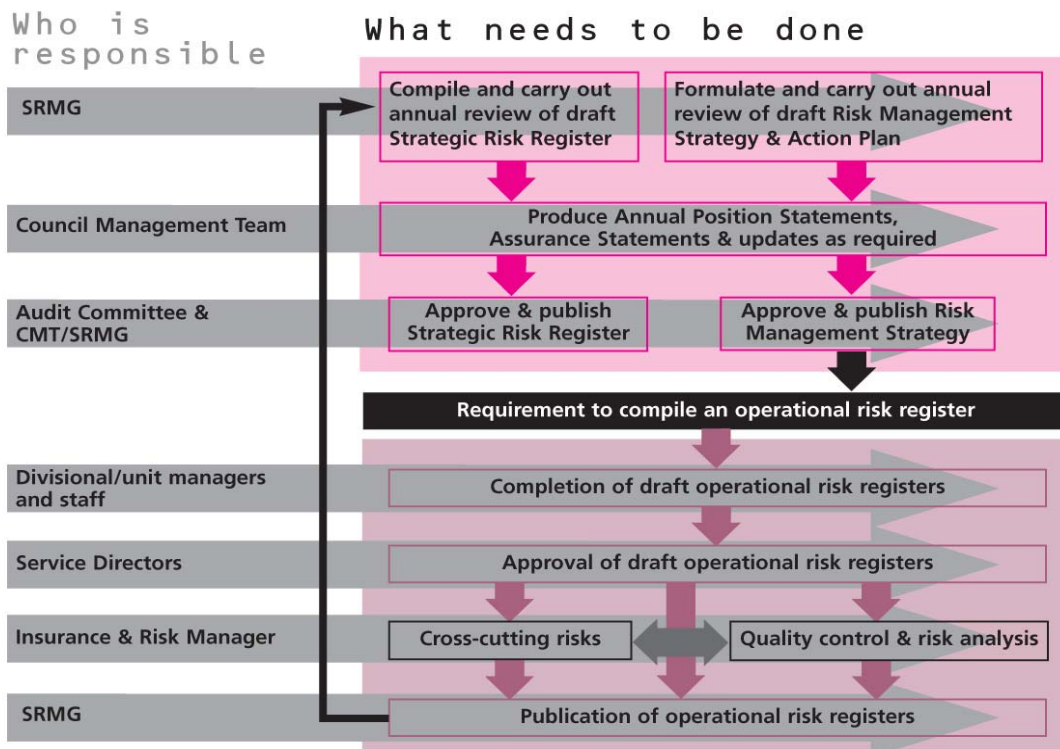
6.1 The Strategic Risk Management Group will lead the implementation process and this is summarised below.

Objective and Action	Responsibility	To be completed by
<b>STANDING ITEMS</b>		
1. Annual review of SRMG membership, terms of ref., risk management strategy & action plan, and framework for 2009/2010 and approval thereof.	Strategic Risk Mgt. Group (SRMG)	SRMG Jan.2010 Audit Committee March 2010
2. Analysis of strategic risks and actions arising from Position Statements provided by Service Directors.	Audit & Risk Manager/Service Directors	December 2009
3. Annual review of the strategic and operational risk controls and achievement of the strategic plan ambitions.	Internal Audit	March 2010
4. Analysis of operational risks.	SMTs/ Service Division managers/Insurance & Risk Manager/ SRMG	September 2009
5. Additional training and development programme in response to emerging risks for the year not met through the corporate programme	SRMG	April 2009
6. Provision of risk management training identified through Leadership and Management Competencies, workforce plan and revised induction programme delivered through the corporate training plan	SRMG & Human Resources	To be determined
7. Communication network of newsletters and reports to the Audit Committee etc.	Audit & Risk Manager/ Insurance & Risk Manager	Quarterly.

8. Develop a programme of targeted operational risk management actions arising from changes in legislation, government guidance/initiatives, etc.	SRMG	Ongoing as changes arise. Review at each SRMG meeting.
9. Review insurance claims data and ensure action taken by management to minimise costs/ service disruption	Insurance and Risk Manager	Quarterly: 31/03, 30/06, 30/09, 31/12
10. Update on risk management arrangements in procurement of key services, works contracts and projects.	Jason Whaler/CA/RW	May 2009
11. Develop benchmarking data to measure performance on risk management both internally and externally and propose actions.	Audit and Risk Manager	Develop measures by September 2009
12. Review the effectiveness of risk management arrangements against current best practice e.g. CAA Key Lines of Enquiry recommendations	Audit & Risk Manager	March 2010
13. Evaluate the effectiveness of the Audit Committee	Audit & Risk Manager	March 2010
14. Review arrangements for major projects/ initiatives. E.g. BSF, Sports Academy.	SRMG	As required.
<b>BROUGHT FORWARD FROM 2008/2009</b>		
15. Review Criminal Liability issues for officers arising from new legislation. (MLO, Corp Manslaughter).	Audit & Risk Manager (MLO) JR(Corp M)	MLO May 2009
16. Revise the current risk management framework in the light of the Local Government White Paper proposals and Local Government Bill (CAA/ LAA/ MAA/ ABG).	SRMG	Ongoing
17. Follow up review of governance arrangements for partnership and collaborative working	Internal audit	January 2010
18. Develop council's performance management risk management module/other to provide management information on ORRs.	Nigel Manders/ Rob Walters	September 2009
<b>NEW ITEMS FOR 2009/2010</b>		
19. Review IT and Data Quality risks, including the quality of data supplied by our partner organisations, and the arrangements for secure records management, in the light of initiatives such as Worksmart and Government Connect and their impact on the council's control environment to ensure appropriate risk management measures are in place	SRMG	As required
21. Evaluate the risk of fraud and controls in place.	SRMG/Internal Audit	March 2010

## 6.2 Roles and responsibilities

The roles and responsibilities of all individuals/groups involved in the risk management process can be summarised as follows:



	Role
Elected Members (Audit Committee and Lead Member)	To approve the Risk Management Strategy and oversee the effective management of risk by council officers. Champion risk management throughout the council. Seek sufficient assurance that strategic risks that may affect the council's ambitions and objectives are being properly managed. Be aware of the risk implications of decisions being made.
Council Management Team (CMT)	Ensure that the council manages risk effectively through the development of a comprehensive risk management strategy
The Strategic Risk Management Group (SRMG)	<ul style="list-style-type: none"> <li>To support the council and its services in the effective development, implementation and review of the risk management strategy.</li> <li>To share experience on risk, risk management and strategy implementation across the council.</li> <li>Promote and raise awareness on risk management issues within their services and across the council.</li> <li>To assist with strategic risk assessments</li> </ul>
Service Division Managers	Ensure that the council manages risk effectively in each service division within the agreed corporate strategy
Employees and volunteers	To manage risk effectively in their job

### 6.3 Strategic Risk Management Group (SRMG).

The role of the Strategic Risk Management Group is crucial to the implementation of a successful risk management programme. The SRMG is a facilitating group and will enable and empower all aspects of the programme. Its terms of reference are agreed and reviewed annually by the audit committee. The SRMG is the focal point for reviewing all aspects of

risk management including Health and Safety, Emergency Planning, and Business Continuity. **It concentrates on strategic, not operational issues.**

The membership of the SRMG is as follows:

- Cllr. David Whitely (Member representative)
- Mike Wedgewood (Finance Services & Chair)
- Steve Piper (Children, Strategy & Partnerships)
- Kay Myers (Adults Social Care)
- Keith Ford (Neighbourhood & Environmental Services)
- Mike Wood (Legal & Democratic Services)
- Chris Matthews (Highways & Planning)
- Chris Ramsbottom (Asset Management & Culture)
- Janet Walker (Asset Management & Culture)
- Nigel Manders (Strategic Development Unit/ Strategic Regeneration, Housing and Development)
- John Rennison (Human Resources)
- Chris Skinner (Community Planning & Resources)
- Carol Andrews (Finance Services)
- Rob Walters (Finance Services)
- Geoff Dunn Risk Management Consultant, Public Sector Risks (JLT)
- Terry Courtney Risk & Insurance Consultant, Zurich Municipal
- Graham Wilkinson Humber Emergency Planning Service

Each of the members of the SRMG will be responsible for co-ordinating the risk management programmes within their own service areas. This will include;

- Co-ordinating the operational risk assessment programme
- Disseminating risk management information and best practice
- Providing advice on risk management methodology and processes
- Ensuring that work assigned to the group is completed within the agreed timescale and report progress to SRMG as required.

There is also co ordination with the emergency planning team: Appropriate representation spans both groups, particularly with regard to Business Continuity Planning.

The SRMG will itself, where necessary, make recommendations on key strategic risks (or cross-directorate operational risks) to Council Management Team or Executive Management Team for comment/approval.

Consideration will be given to allocating a risk management budget to carry out appropriate risk reduction projects or training.

## **7. Communication and Training/Education Strategy**

All staff have a role to play in risk management and the SRMG will have responsibility for developing the necessary training or advice for service managers to implement the above measures throughout the council. Risk management has been incorporated into the council's induction training. Risk management is included in the generic skills set in the workforce plan for all employees and will be supported by a suite of corporate training courses.

An Intranet web site is accessible by all staff: This outlines what risk management is, what the role of the SRMG is how all employees can play their part in reporting and managing risks. It also contains the minutes of the SRMG and other useful information.

A booklet and poster has been provided and widely distributed to help raise awareness on the council's approach to risk management and the role everyone has in managing risks.

Newsletters will also be issued regularly.



# Managing **RISK**



[www.northlincs.gov.uk](http://www.northlincs.gov.uk)

**Find out how  
it affects you**

**Go to Intralinc:**

- Councilwide issues
- Groups
- Strategic Risk Management Group
- Managing Risk

**to view the booklet.**

**Or ask your Service Division  
Manager for a copy of the booklet.**

## Strategic Risks

## Council Vision

Adoption of priorities that do not meet national or local needs.

Failure to maintain robust decision making processes.

Inappropriate pace of innovation and modernisation.

Abrupt policy changes resulting from changed political leadership nationally or locally.

Recession or significant demographic changes.

Inability to recruit and retain key staff, effects of industrial action.

Available resources inadequate to meet identified needs, e.g. from inability to access external funding.

Failure to meet the needs of disaffected communities (minorities and the disadvantaged).

Low levels of education attainment.

Civil disorder.

Serious breach of IT security and failure of major systems.

Inadequate response to legislation.

Contamination and pollution.

Major events (weather, terrorism, fire, fuel shortages, public health, pandemic viruses/diseases).

Failure of major partner, supplier, contractor or other public sector body.

Adverse reports from inspectorates and bad public and media relations.

Breakdown of prudent financial management including treasury risks.

Inappropriate officer and member relationships.

Breach of Health & Safety legislation, good practice & duty of care.

Data Quality, including that of our partners

