

RIBBLE VALLEY BOROUGH COUNCIL REPORT TO POLICY AND FINANCE COMMITTEE

Agenda Item No 10

meeting date: 21 SEPTEMBER 2010
 title: RISK MANAGEMENT POLICY
 submitted by: DIRECTOR OF RESOURCES
 principal author: MICK AINSCOW

1 PURPOSE

- 1.1 To ask Members to consider the approval of the updated and revised Risk Management policy document.

2 BACKGROUND

- 2.1 The Risk Management policy was originally approved back in 2003 and since then there have been minor amendments in 2006, 2007 and 2009.
- 2.2 A comprehensive review of the policy has been undertaken and committee are now asked to consider the revised policy attached at Appendix A for approval.

3 INFORMATION

- 3.1 The majority of changes to the policy have merely been in terms of references to reporting to Committee (Accounts and Audit rather than Overview and Scrutiny) and identifying both member and corporate champions.
- 3.2 The major proposed change to the policy can be seen in Appendix A of the document and relates to the way risks are scored and particularly with regard to the financial impact of those risks. Members are asked to consider changing the financial criteria for green, amber and red risks as follows:

RISK	CURRENT	PROPOSED
High Red	Member approval for virement or additional funds in excess of £10,000	Member approval for virement or additional funds in excess of £100,000
Medium Amber	Financial impact not manageable within existing Directorate budget and requiring the Director of Resources approval for virement or additional funds between £5,000 and £10,000	Financial impact not manageable within existing Directorate budget and requiring the Director of Resources approval for virement or additional funds between £50,000 and £100,000
Low Green	Possible financial impact manageable within Directorate budget i.e. less than £5,000	Possible financial impact manageable within Directorate budget i.e. less than £50,000

- 3.3 In addition the Emergency Planning Officer has produced a 'District Emergency Planning Risk Register' - attached as Appendix B which members are asked to consider whether they wish to form part of the Risk Management Policy or to be a stand-alone document.

4 RECOMMENDED THAT COMMITTEE

- 4.1 Note the amendments to the Risk Management Policy and alter or approve as appropriate.
- 4.2 Note the production of the District Emergency Planning risk Register and decide whether to incorporate this within the Risk Management Policy or to leave as a stand-alone.

PRINCIPAL AUDITOR

PF45-10/MA/AC
9 September 2010

RIBBLE VALLEY BOROUGH COUNCIL



RISK MANAGEMENT POLICY DOCUMENT

SEPTEMBER 2010

Contents

Risk Management Policy Statement..... 5

What Is Risk Management?..... 6

The Benefits of Risk Management..... 7

The Cost of Risk..... 8

Why We Need To Manage Risk 9

Risk Management Aims and Objectives 9

Roles and Responsibilities..... 10

Inter-Relationships to Support the Risk Management Strategy 12

Risk Management Working Group..... 13

Risk Management Process..... 14

Categories of Risk 18

Promoting Risk Awareness..... 19

The Turnbull Report..... 20

Risk Management Policy Statement

The authority has a moral and statutory duty to take all reasonable actions to safeguard its employees, assets and the public and ensure that it is not financially or operationally disrupted. It will meet this duty by ensuring that risk management plays an integral part in the governance of the authority at a strategic and operational level.

The Risk Management Working Group will support the authority in fulfilling this duty. However, risk management is an active process that requires the co-operation of all staff. Thus, the management of risk is not the responsibility of any one person or group, but the responsibility of every individual in the authority.

Insurable losses are the responsibility of the authority, not that of an insurance company. Management has the responsibility to plan and systematically approach the identification, analysis and control of risk.

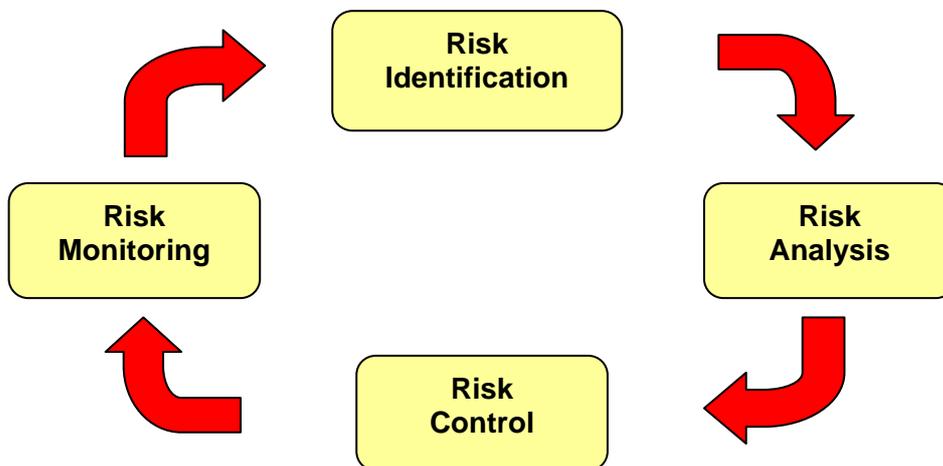
What Is Risk Management?

Risk Management is the identification, analysis and economic control of those risks that can threaten the assets of an organisation or the ability of the organisation to provide a service.

Risk Management should not be seen as a “bolt on”; it should be integral to policy planning and operational management within the authority. Applying the risk management cycle will help elected members and managers make informed decisions about the appropriateness of adopting policy or service delivery options.

The risk management cycle will generate information that will help ensure that risks can be avoided or minimised in the future. It will also enlighten judgements on the type and degree of insurance cover and the balance to be reached between self-insurance and external protection.

The Risk Management Cycle



➤ Risk Identification

Identifying and understanding the risks that the authority faces is essential for informed decisions to be made about policies or service delivery methods. The risk associated with these decisions can then be effectively managed.

➤ Risk Analysis

Once the risks have been identified they need to be systematically analysed using proven analysis techniques and all available data on the potential frequency and consequences of events. If a risk is seen to be unacceptable steps need to be taken to control or respond to it.

➤ Risk Control

Risk Control is the process of taking action to reduce the chance of a risk occurring and /or the impact of the risk should it occur. These factors should be reduced to the lowest point where the action taken is still economical. Risk control often requires projects to be implemented or operating procedures to be revised.

➤ Risk Monitoring

To complete the risk management process all risk control projects and revisions in operating procedure need to be monitored and reviewed. It is also important to assess whether the nature of the risk has altered with time.

Failure to pay proper attention to the likelihood and consequences of risk could cause great damage to the authority. Some examples of damage include service disruption, threat to public health, financial costs, compensation claims and bad publicity. The management of risk is consequently a key part of the authority's approaches to the delivering of the sound governance element of Best Value.

The Benefits of Risk Management

The benefits of managing risk effectively include:

Improved Strategic Management

- Better informed selection of strategic objectives and related targets as a result of the risk identification, analysis, control and monitoring process
- Enhanced ability to deliver against more realistic and attainable objectives and targets

Improved Operational Management

- Decline in the number of interruptions to service delivery
- Reduction in managerial time devoted to managing the results of a risk event having taken place
- Improved managerial control as a result of risk identification, analysis, control and monitoring
- A more systematic method to addressing legislative, regulatory or competitive demands
- Improved health and safety and the superior condition of property and equipment

Improved Financial Management

- Decrease in the financial costs linked with losses due to service interruption, litigation, bad investment decisions, etc.
- Better-informed financial decision-making on investment, insurance, option appraisal, etc.
- Improved financial control as a result of risk identification, analysis, control and monitoring
- Reduction in insurance premiums and direct costs met through self-insurance

Improved Public Service

- Minimal service disruption to public and a positive external image as a result of all of the above

The Cost of Risk

The cost of risk is made up of two components, the evident cost of risk and the hidden cost of risk. The evident cost of risk are things such as insurance premiums, uninsured losses met from the revenue budget, the cost of risk control measures and direct administration costs. According to the Association of Local Authority Risk Managers (ALARM) the average local authority has an evident cost of risk in excess of 0.65% of gross revenue.

The hidden cost of risk can be much harder to identify and evaluate. The hidden cost can include things such as a fall in staff morale, the cost of management time spent dealing with the risk events, damage to the reputation of the authority, indirect administration costs and the cost of employees being off work following an accident. It is widely thought that the hidden cost of risk can be many times that of the evident cost. To calculate the hidden cost of risk ALARM use a multiplier of eight times the evident cost, which they consider to be a conservative estimate. For some authorities the multiplier can be as high as thirty times. This means that the total cost of risk for the authority is likely to be at least 5.2% of gross revenue (£1.1m) and could even be much higher.

ALARM says that experience in the private sector proves that the cost of risk can be reduced in real terms by the implementation of risk management. With the cost of risk being so high any action that can reduce this cost will be of benefit to the whole authority.

Why We Need To Manage Risk

The Council has a statutory responsibility to have in place arrangements for managing risks. As stated in the Account and Audit Regulations 2003:

“The relevant body shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of the body’s function and which includes arrangements for the management of risk”.

Risk management is recognised as an important element of good corporate governance. The CIPFA/SOLACE Framework on Corporate Governance requires councils to establish and maintain a systematic strategic and methodological process for managing risk. They must also report publicly on the effectiveness of these arrangements.

Risk Management is beneficial to Ribble Valley Borough Council as it:

- Helps us to be more flexible and responsive to new internal and external demands
- Helps the Council make informed decisions
- Provides assurance to Members and management
- Reduces incidents and other control failures
- Helps in the achievement of the Councils’ objectives

Risk Management Aims and Objectives

By implementing the risk management policy the authority aims to:

- Provide continuous high quality services to the residents of Ribble Valley.
- Use appropriate identification and analysis techniques to identify risks to the authority and determine the long and short-term impact.
- Prioritise and implement economic control measures to reduce or remove risks.
- Protect and promote the reputation of the authority in the community.
- Through the use of education, training and communication, develop and maintain a structured risk management culture, where risk is considered in the decision making process and the everyday working situations of all personnel.
- Maintain a system for recording and providing accurate, relevant and timely risk management information.
- Reduce the long-term cost of risk to the authority.

Roles and Responsibilities

Risk Management roles and responsibilities of key positions are outlined below:

Accounts and Audit Committee

Role

- Overall responsibility for Risk Management
- A member of the Committee is the Council's 'Member Champion'.
- Ensure that a comprehensive approach to risk management is developed and implemented by management.

Responsibilities

- To attain a knowledge of risk management and its benefits.
- To oversee the effective management of risk by the senior management of the authority.

Corporate Management Team

Role

- To ensure that the authority manages risk systematically, economically and effectively through the development of an all-encompassing corporate strategy.

Responsibilities

- To acquire a knowledge of risk management and its benefits.
- To help develop the risk management strategy and communicate it to the elected members.
- To promote and oversee the implementation of the strategy across the authority.
- To assist in monitoring and reviewing the risk management strategy through monthly reports taken to CMT, including an annual review of its effectiveness and a written report of this to stakeholders.
- To agree any inputs and resources necessary to support the implementation of the strategy corporately.

Risk Management Working Group

Role

- To support the authority in the development, implementation and review of the risk management strategy.
- To share experiences on risk, risk management and strategy implementation across the authority.

Responsibilities

- To develop the risk management strategy in liaison with the Corporate Management Team.
- To promote, support and oversee its implementation across the authority.

- To identify any dedicated inputs and resources required to support the implementation of the strategy.
- To identify and communicate risk management issues to the different service areas.
- To assist service areas in undertaking risk management activity through training and/or direct support.
- To monitor, review and report the effectiveness of the risk management strategy.
- To share good practice on all elements of risk management.

Heads of Service

Role

- To manage risk in each particular service area.

Responsibilities

- To contribute to the development of the risk management strategy from a function specific perspective.
- To disseminate the detail of the strategy and allocate responsibilities for implementation of the strategy in their service area.
- To recommend the necessary training on risk management for the employees in the section.
- To share relevant information with other service sections.
- To identify any risk management issues in their service area.
- To provide feedback to the Risk Management Working Group on their experience of implementing the strategy and their perceptions of the effectiveness of the strategy.
- To ensure that the strategy is implemented across the function.

Employees

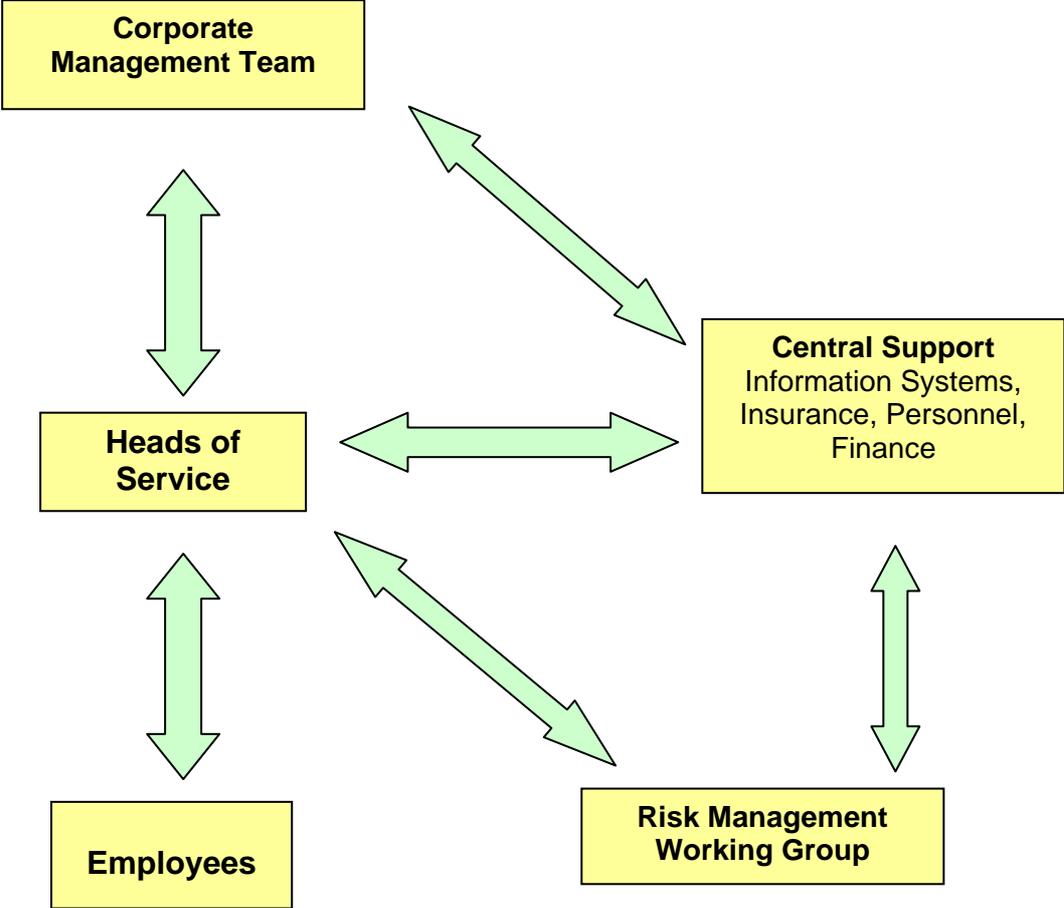
Role

- The management of risk in their own work.

Responsibilities

- To liaise with their manager to assess areas of risk in their job.
- To identify and alert their manager of new or changing risks in their job.
- To effectively use skills and knowledge that they have gained through training.
- To carry out their job within the risk management guidelines set down by their manager.

Inter-Relationships to Support the Risk Management Strategy

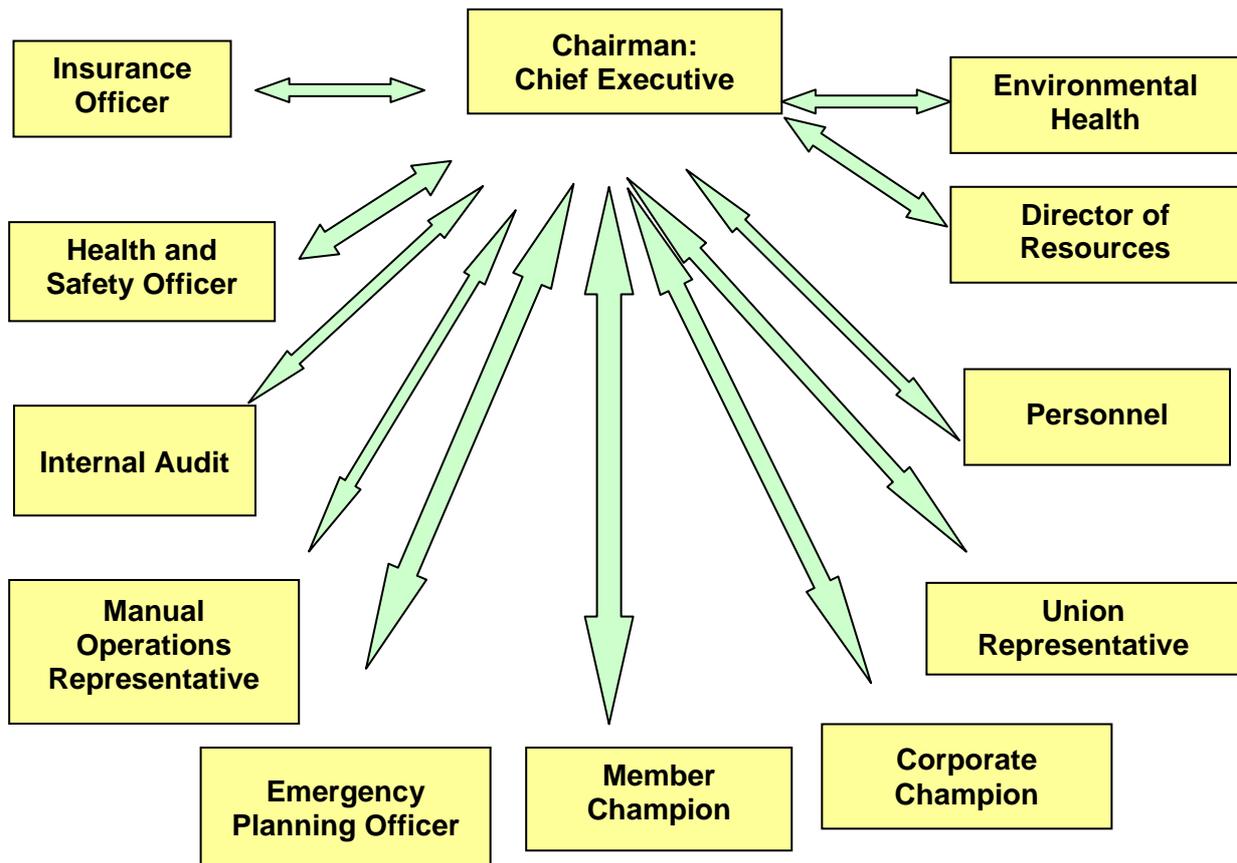


The arrows represent the flow of guidance, information and feedback within the structure. Communications regarding the risk management issues should be open as outlined in the Turnbull Report.

Risk Management Working Group

The Chief Executive chairs the Risk Management Working Group. He is committed to the concept of risk management. The body of the group is made up of representatives from different service areas. These staff have a sound knowledge of risk management and are willing to dedicate time and effort to the implementation of the strategy.

Risk Management Working Group Structure



The Risk Management Working Group meet on a quarterly basis and have a set agenda of items to be covered. From this it can be determined where there are issues concerning risk management and where action needs to be taken.

Regular reports on risk management are sent to Accounts and Audit Committee.

Risk Management Process

The Council's risk management process is underpinned by a series of consistent processes and documentation that:

- Identify and manage risks in a consistent, holistic way across the Council;
- Focus on risks that, because of their likelihood and impact, make them management priorities.

The Councils' risk management process is also supported by the use of GRACE risk management software. The software enables Managers to have access to their risks and to prioritise them accordingly.

The GRACE risk management software allows the Council to:

- Record identified risks and manage them in a consistent way
- Map risks to corporate and operational objectives, NI's and risk types
- Generate risk registers
- Identify key risks
- Record mitigating actions
- Monitor and review risks, including tracking changes to risks
- Produce both generic and customised management reports

Step 1 – Define Objectives

Ribble Valley Borough Council's objective is to be a 'well managed council providing efficient services based on identified customer needs'. This aim is underpinned by the Council's objectives.

As well as corporate objectives there are also service objectives, which have been drawn up by Heads of Service. Each service objective impacts upon corporate objectives and in turn the Council's overall objectives.

Step 2 – Identify Risks

Risk identification attempts to identify the Council's exposure to uncertainty. Generic risk profiles have been supplied by Grace Governance Solutions Ltd, however it is important to remember that not all risks as listed in the generic profiles may be relevant and therefore risk owners are responsible for identifying the applicable risks as listed in the generic profiles and any additional risks not listed that the service/department faces.

Having identified the risks, these are recorded on a Risk Register. All risk registers are created and maintained on the GRACE risk management system.

Risks are identified on a strategic, operational, directorate, partnership and project level.

Step 3 – Assess Risks

Risks are assessed by looking at the likelihood of the risk occurring and the impact that risk would have if it were to occur.

Controls are probably in place to minimise identified risks, however, in the first instance risks are assessed as though there were no controls in place i.e. the worst case scenario. This is known as the '**gross**' risk level.

The gross risk level is recorded in the risk register.

In most scenarios however there will be controls in place to minimise the likelihood or impact of the identified risk occurring. Risks are therefore assessed based on the likelihood and impact of the risk occurring considering that there are mitigating actions in place. This is known as the ‘net’ risk level.

The net risk level is recorded in the risk register.

Each risk is allocated a risk owner whose name is recorded on the risk register.

Guidance on how the likelihood and impact levels of a risk should be assessed can be found in Appendix A.

Step 4 – Prioritise Risks

Some risks command a higher priority due to their likelihood and impact.

Both the gross and net likelihood and impact levels of each risk are plotted and prioritised using a 3 x 3 matrix as can be seen below:

IMPACT	HIGH	Amber 6	Red 8	Red 9
	MEDIUM	Green 3	Amber 5	Red 7
	LOW	Green 1	Green 2	Amber 4
		LOW	MEDIUM	HIGH
	LIKELIHOOD			

A ‘traffic light’ system is used to show high (red), medium (amber) and low (green) risks. This results in the prioritisation of both gross and net risks, which are recorded in the risk register.

Step 5 – Respond to Risks

As most risks cannot be eliminated altogether, judgments have to be made as to what level of risks are acceptable. There are four categories of response – transfer, treat, terminate and tolerate. Details of each response can be found in the following table:

Response	Description
Transfer	Risks are transferred to an insurer, e.g., legal liability, however it must be remembered that this is not possible for all risks. Some service delivery risks can also be transferred to a partner or contractor by way of a formal contract or written agreement. Some risks however cannot be transferred, for example, reputational risks.
Treat	Risks need additional treatments (controls) to reduce the likelihood and impact levels. This response is most likely where the risk has been identified as a high risk due to the likelihood and impact levels.
Terminate	A risk is identified as being so serious that there is no option other than to terminate the activity generating the risk.
Tolerate	The controls in place reduce the likelihood and impact levels to a tolerable level. It is therefore decided to <i>tolerate</i> the risk.

Generally any ‘net’ red risks (i.e. after mitigating action has been considered) are viewed as unacceptable and must be treated. It may be necessary to carry out a cost benefit analysis to ensure that the cost of introducing further mitigating action(s) does not outweigh the cost of tolerating the risk.

Amber risks are acceptable; however the risk should be reduced as low as is reasonably practicable and contingency plans must be developed.

Green risks are broadly acceptable.

The acceptance of a risk represents an informed decision to accept the impact and likelihood of that risk.

A risk owner must be allocated to each identified risk. This ensures the ‘ownership’ of the risk is identified and that the appropriate resources are allocated.

Risk owners are responsible for:

- Ensuring that appropriate resources and importance are allocated to the process;
- Confirming the existence and effectiveness of the mitigating actions and ensuring that any proposed mitigating actions are implemented;
- Providing assurance that the risks for which they are Risk Owner are being effectively managed.

Step 6 – Monitor Risks

Risks are monitored at the following frequency:

Red	High risk, monthly
Amber	Medium risk, quarterly
Green	Low risk, 6 monthly

Step 7 – Review and Report

Reports are sent to Accounts and Audit Committee at each meeting informing them on the progress to date with regards risk management. A copy of the most recent red risk register is also included in these reports.

Risk Owners not carrying out risk reviews in accordance with the frequency schedule as listed above are also reported to the Councils' Corporate Management Team on a monthly basis.

The Risk Management Working Group meets on a fairly ad-hoc basis, but usually quarterly.

Step 8 – Communicate and Consult

Copies of this policy are available on both the Intranet and Internet.

Risk Management Training has been provided as follows:

- November 2005 – Risk owner training on the GRACE system
- March 2006 – Staff training
- May 2006 – Risk owner training
- April 2008 – Risk owner and member training

Categories of Risk

Risks can be strategic or operational.

- **Strategic** – risks that need to be taken into account in judgements about the medium to long-term goals and objectives of the authority.
 - Political – Those connected with the failure to deliver either local or central government policy.
 - Economic – Those affecting the authority's ability to meet its financial commitments. These include internal budgetary pressures, the failure to purchase sufficient insurance cover or the effects of proposed investment decisions.
 - Social – Those relating to the consequences of changes in demographic, residential or socio-economic trends on the authority's ability to meet its objectives.
 - Technological – Those associated with the authority's ability to cope with the scale and pace of technological change, and its ability to use technology to meet changing demands.
 - Legislative – Those associated with present or future national and European law.
 - Environmental – Those relating to the environmental consequences of progressing the authority's strategic objectives (e.g. in terms of pollution and energy efficiency).
 - Competitive – Those concerning the competitiveness of the service in terms of cost or quality and/or its ability to deliver Best Value.
 - Customer/Citizen – Those connected with the failure to meet the present and shifting needs and expectations of the customers and citizens.
- **Operational** – risks encountered in the everyday work of managers and staff.
 - Professional – Those involved with the specific nature of each profession.
 - Financial – Those linked to financial planning and control and sufficiency of insurance cover.
 - Legal – Those connected to possible violations of legislation.
 - Physical – Those associated with fire, accident prevention and health and safety.
 - Contractual – those related to the failure of contractors to deliver services or products to the agreed cost or specification.
 - Technological – Those linked with the reliance on operational equipment.
 - Environmental – Those relating to pollution and energy efficiency of on going service operations

Promoting Risk Awareness

Increasing risk awareness is a very important part of implementing the risk management strategy as it helps to develop a risk management culture.

Officers from across the authority have been involved in risk management training sessions and an overview with regards risk management has been published on the Intranet

The Turnbull Report

What is the Turnbull Report?

The Turnbull Report is guidance on the implementation of the internal control requirements of the Combined Code on Corporate Governance. It was written by The Institute of Chartered Accountants in England and Wales and has the full support of the London Stock Exchange. It provides guidance to assist companies to implement principle D2 of the Combined Code of Corporate Governance, i.e.

“The board should maintain a sound system of internal control to safeguard shareholders investment and the company’s’ assets.”

A system of internal control is made up of the policies, processes, tasks, behaviours and other aspects of an organisation that:

- Facilitate its effective and efficient operation by enabling it to respond to risks to achieving the organisation’s objectives. These include significant business, operational, financial and compliance risks. The safeguarding of assets and identification and management of liabilities are also included in this.
- Help ensure the quality of internal and external reporting. Records and processes that produce a flow of information should be maintained so that information is timely, relevant and reliable, whether from within or out with the organisation.
- Assist in ensuring compliance with laws, regulations and internal policies with respect to the conduct of business.

Why Does It Affect Ribble Valley Borough Council?

The Turnbull Report only applies to UK listed companies; however it is beneficial for other organisations to follow the guidelines. It is seen as “best practice” and “the sort of thing that companies should be doing anyway” according to Roger Davis, deputy chairman of the Turnbull Committee.

Former Chief Executive of ALARM (1999-2001), Liz Taylor, made it clear that she believes that life in the public sector is about to change as a result of increasing concentration on good corporate governance.

“Guidelines drawn up for the private sector are beginning to influence management thinking in the public sector,” she said. “Senior managers must keep abreast of the changes in corporate governance guidelines and legislation within the private sector. Change is definitely coming, and managers within the public sector need to get a grasp of it so that they are in control when it arrives. They should read the Turnbull Committee’s report and review their strategies in light of its recommendations.”

Although the Turnbull Report is not aimed at the public sector, it is a complete codification of good practice and so should not be ignored.

What Are the Implications of the Turnbull Report on the Authority?

The Turnbull Report requires a sound system of internal control, safeguarding the shareholders' investment and the company's assets, to be maintained by the board. On deciding what is a sound system of internal control, the following will need to be considered:

1. The nature and extent of risks facing the authority.
2. The extent and categories of risk which it regards acceptable for the authority to bear.
3. The likelihood of those risks concerned materialising.
4. The authority's ability to reduce the incidence and impact on the organisation of the risks that do materialise.
5. The cost of operating particular controls relative to the benefit thereby obtained in managing the risk.

Continuous effective monitoring is an essential part of a sound system of internal control. The Turnbull report requires the Board, or in the case of the Council the Corporate Management Team, to regularly review reports on the effectiveness of the system of internal control. The reports that they review should provide a balanced assessment of the significant risks and the effectiveness of the systems of internal control. Any major failings must be discussed in the reports, including the possible impact and actions being taken to rectify them.

An annual assessment of the effectiveness of the Councils' system of internal control is carried out and is reported to stakeholders. The review covers risk management and all controls, including financial, operational and compliance controls.

The annual reports and accounts also contain a narrative account of how the Council has applied the above principles, providing explanations, which enable the stakeholders to evaluate how the principles have been applied. Or if there has been a period of non-compliance, detail the nature of and reasons for the non-compliance.

To follow the guidelines of the Turnbull Report the management of risk should not be treated as a separate exercise; it should be embedded within the organisation, forming part of its culture. It should be at the top level of governance within the organisation. The authority should identify, evaluate and manage significant risks and also be able to respond to changing risk. However the authority should not eliminate all risk as some risks can produce positive results. There should be openness of communication on matters relating to risk management.

The report also requires that all employees have some responsibility for managing risk as part of their accountability for achieving objectives. They should have the knowledge, skills, information and authority to operate and monitor a system of internal control.

This risk management policy document has been drawn up to be in line with the guidelines of the Turnbull Report. In following this document, the key recommendations of the report will be fulfilled by the authority.

Likelihood

<i>Description</i>	<i>Example Detail</i>
High Red	Has happened in the past year; or is expected to happen in the next year More than 50% probability
Medium Amber	Has happened in the past 2-5 years; or is expected to happen in the next 2-5 years Between 25% to 50% probability
Low Green	Has not happened in the past 5 years or more ; or is not expected to happen in the next 5 years or more Between 1% to 25% probability

Impact

<i>Description</i>	<i>Example Detail</i>
High Red	Death or life threatening Serious service failure impacts on vulnerable groups Negative national publicity or widespread adverse local publicity Serious impact felt across more than one Directorate Legal action almost certain and difficult to defend Financial impact not manageable within existing funds and requiring Member approval for virement or additional funds in excess of £100,000 Non-compliance with law resulting in imprisonment
Medium Amber	Extensive, permanent/long term injury or long term sick Service failure impacts on property or non-vulnerable groups Negative local publicity but not widespread Expected impact, but manageable within Directorate contingency plans Legal action expected Financial impact not manageable within existing Directorate budget and requiring the Director of Resources approval for virement or additional funds i.e. between £50,000 and £100,000 Non-compliance with law resulting in fines
Low Green	Short term sickness absence, first aid or medical treatment required Some risk to normal service but manageable within contingency arrangements Little if any scope for impact on vulnerable groups Negative customer complaints Possible impact, but manageable locally by Head of Service Legal action possible but unlikely and defensible Possible financial impact manageable within Directorate budget i.e. less than £50,000 Non-compliance with regulations/standards or local procedures resulting in disciplinary action



Producing a District Emergency Planning Risk Register

1. Introduction

In the past when Local Authority External Inspectors requested sight of an Authority's Emergency Planning Risk Register they would accept a copy of the Community Risk Register prepared by the Resilience Forum of which the Authority was a member. This is now changing - instead the Inspectors are expecting the preparation and maintenance of an Authority *specific* Emergency Planning Risk Register.

2. History

For many years Ribble Valley Borough Council has maintained Risk Registers for each of their functions, services and operations using risk management software supplied by Grace Governance Solutions Ltd (Gracegs Ltd) who also supply Interactive Generic Risk and Control Profiles Library.

The Interactive Generic Profiles Library is a tool designed to be used as a reference source on its own, tailored to an authority, and/or to assist in the compilation of a risk register, risk profiles, audit programmes, populate risk management and corporate governance reporting software.

They are supplied in an Interactive Format to enable Emergency Planning Officers, Risk Managers etc. to select a risk, then view suggested controls and then the associated compliance tests. The text can be copied and pasted.

In 2008 Ribble Valley Borough Council and Gracegs Ltd worked together to formulate a new module to be added to the Generic Profiles Library – Emergency Planning – consisting of 16 profiles.

Profiles were formulated for each category prescribed by the UK risk assessment framework (provided by the Office of the Deputy Prime Minister (ODPM)). In addition an Emergency Planning and Management profile was formulated.

The profiles were formulated using a variety of sources including:

- Lancashire Resilience Forum Community Risk Register
- Community Risks Registers in the public domain
- Output from Emergency Planning Risk and Control identification workshops
- Officers knowledge and experience

- Articles and publications

They reflect current guidelines, requirements and best practice.



3. Producing a District Emergency Planning Risk Register

Using the Grace Risk Management system officers at Ribble Valley Borough Council tailored each of the generic profiles to their Authority's environment, mapped the controls and set the risk levels.

Eighteen Emergency Planning Risk Registers were produced – there are 3 specific Flooding Risk Registers. These registers are regularly reviewed and updated by designated Emergency Planning officers – **Appendix A**.

Using the reporting facility the officers were then able to compile a Ribble Valley Borough Council Emergency Planning Risk Register – **Appendix B**.

4. Availability/Access

The Generic Risk and Control Emergency Planning Module has as a platform been called 'EMA' Emergency Management Assessment, in acknowledgement of the involvement of RVBC in this development 'EMA' will be provided on a continuing no cost basis. This arrangement will also be extended to those Authorities who are involved in the evaluation process for a limited period.

Authority's can compile their own specific District Emergency Planning Risk Register on a spreadsheet or populate risk management software they may have already installed/developed.

Authority's who wish to continue to maintain their Emergency Planning risk registers on the **Ema** (Emergency Management Assessment) software system can procure the final commercial product.

Ema is a version of the Grace software designed specifically for formulating and maintaining Emergency planning risk registers.

Ema will be accessible on the internet enabling users to access their data from any location from where they can make an internet connection.

Chris Shuttleworth 09092010

Appendix A - Extract from the Grace software system

The screenshot displays the Grace software interface for a risk profile. The main window is titled 'Flooding - Ribchester (Current)'. The 'Risks' tab is active, showing details for a risk titled 'Major Localised Fluvial Flooding'. The description is 'Major Localised Fluvial Flooding with 1,000 to 10,000 properties affected.' The risk is categorized with a Gross Likelihood of 'Medium', Net Likelihood of 'Medium', Gross Impact of 'High', and Net Impact of 'Medium'. The Gross Risk Level is 'Red 8' and the Net Risk Level is 'Amber 5'. Triggers include 'Extreme rainfall over a short period', 'Prolonged rainfall over a number of days', 'Drains blocked', and 'Stormwater drainage system capacity exceeded'. Impacts include 'Drowning of people, pets and livestock', 'Major damage to property and surrounding land', 'Closure or washing away of roads, bridges and railway lines', 'Loss of (and possible damage to) telephone, electricity, gas and water supplies', 'Pollution/health risks from sewerage systems, chemical stores, fuel storage tanks', and 'Evacuation and temporary/long term accommodation needs'. The risk was added on 30/01/2008 and is currently 'Confidential'. A 'Closed' checkbox is present at the bottom right of the risk details.

Below the risk details, the 'Treatments' tab is active, showing a list of controls. The first control is 'Flood Advice Publications', with a description: '1. The Authority publishes a range of leaflets and booklets that are prepared by a multi-disciplinary team and approved by the appropriate committee. 2. A designated officer is responsible for ensuring the advice is regularly reviewed and updated. 3. These are produced and published in different languages and in Braille.' The second control is 'Public Information Points', with a description: '1. Public information points are located in public buildings, libraries etc. These comprise leaflet racks and touch screens. 2. Touch screens provide users with access to advice on emergency preparedness, useful contact points, telephone numbers etc.' Both controls have a 'Closed' checkbox.

The left sidebar contains a list of risk types, including 'Major Localised Fluvial Flooding', 'Local Fluvial Flooding', 'Breach of Regulations', 'People Stranded/Marooned', 'Theft/Looting', 'Vandalism', 'Failure to Respond', 'Statutory Duty Not Complied With', 'Vulnerable Persons Not Identified', 'Lack of Information', 'Lack of Coordination', 'Lack of Communication', and 'Liability Arising from an Emergency'. The bottom sidebar lists various treatments, including 'Environment Agency Flood Warnings', 'Annual Briefings', 'Multi Agency Contingency Plan', 'Business Continuity Plan', 'Flood Advice Publications', 'Public Information Points', 'Advertising Campaign', 'Website/Internet', 'Website Maintenance', 'Local radio bulletins/updates', 'District Response Forum', 'Local Response Forum', and 'Coordinated Training Programme'.

Appendix B - Extract RVBC EMA District Risk Register software system

Risk Title	Description	Gross Risk Level	Net Risk Level
Risk Count: 24			
Extreme/Severe Weather		8	5
Storms and Gales	Storm force winds affecting most of the country for at least 6 hours. 5+ fatalities/hospitalisations. Most inland, lowland areas experience mean speeds in excess of 55mph with gusts in excess of 85mph. Consequent widespread and/or extensive damage to infrastructure (e.g. telecommunications, power, transport), disruption to travel networks etc.	8	5
Prolonged /Severe Heat-Wave	Daily maximum temperatures above 32 degrees centigrade and minimum temperatures above 15 degrees centigrade (high night-time temperatures) over most of the area for at least 5 consecutive days.	8	5
	10+ fatalities/hospitalisations		
Prolonged /Severe Drought	Reduction in ability to supply water, either public water supply or other forms of abstractions. The impact of a drought could be localised due to specific supply problems or countywide in extreme circumstances.	7	7
	Leads to: - disruption to residents and businesses as the water supply may be reduced or switched off for specific periods or usage restricted etc. - crop failures - reduced availability of milk and produce		
Forest, Woodland, Heathland etc. Fire	As a consequence of prolonged/severe drought and/or severe heat-wave. Widespread outbreak of fire. Potential fatalities and serious injuries. Localised disruption to roads and business in the area. Evacuation of neighbouring properties	5	5
Prolonged /Severe Cold Weather	Daily maximum temperatures -5°C or lower (wind-chill) for a duration of at least 3 consecutive days over most of the area.	8	5
	10+ fatalities/hospitalisations.		
Prolonged /Heavy Blizzards /Snow Fall	Snowfall/drifts of 0.5+m; duration 3+ days; disruption to normal work patterns and travel networks; schools closed; disruption to care services to the elderly/infirm (e.g. meals-on wheels); farmers unable to feed livestock / collect milk.	8	5

29/07/2010 10:40:11

Page 5 of 27