

Risk Questionnaire for Decision Makers

Report title: **NORFOLK MINERALS AND WASTE DEVELOPMENT FRAMEWORK, CORE STRATEGY AND DEVELOPMENT CONTROL POLICIES PREFERRED OPTIONS AND SITE ALLOCATIONS ISSUES AND OPTIONS**

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Meeting: Policy Development & Review Panel 1

Date of Meeting: 11th March 2008

1 Questions to ask yourself before writing your report to Council, Cabinet, a Review Board or Committee.

- Am I recommending the provision of a new service for the Council or the commencement of a new project? NO
- Am I recommending changes to the way an existing service or project is managed, operated or funded? NO
- Am I recommending a change of Council policy? NO
- Am I considering significant change to a Council core strategy or key service strategy? NO

If the answer is YES to any of these questions then you need to undertake a risk assessment using the Council's Risk Management methodology.

If the answer is NO to ALL these questions there is no need to undertake a risk assessment, and you should include the Option 1 statement below in the Risk Management section of your report with appropriate amendment.

2 Questions to ask yourself once you have undertaken your risk assessment:

- Have I identified current or new procedures or controls that will mitigate the risk and therefore there are no significant risk implications as a result of the recommendations? If the answer is YES to this question then you should include the **Option 2** statement below in the Risk Management section of your report, with details of the risks and mitigating factors. YES / NO

- Have I identified new controls that are required to mitigate risk and which require additional financial resources? YES / NO

If the answer is YES to this question then you should:

- a) Review your current department's budget to determine whether the money can be vired from within existing budgets. Contact Finance for assistance if the money can not be found within existing budgets within your dept. Finance will contact your Director for approval if there are other funds available within the service area (This will then require noting in the Financial Implications Section of the report). All virements must be made in accordance with the Constitution/ Financial Standing Orders & Financial Regulations. A report and Proforma B will be required for any additional funding request that cannot be met from virements.
- b) Include the **Option 3** statement in the Risk Management section of your report, with details of the risks, mitigating factors and any additional control costs.

- Have I identified that any new or increased insurance may be required? YES / NO

If the answer is YES to this question, or you are uncertain, then you should:

- a) Contact the Council's Insurance Officer.
- b) Include the **Option 3** statement in the Risk Management section of your report, with details of the risks, mitigating factors and any additional insurance costs.

- Have I identified any residual risks that are not mitigated fully by existing or planned procedures or controls? YES / NO

If the answer is YES to this question then you should

Include the **Option 4** statement in the Risk Management section of your report, with details of the risks, controls, associated costs and residual risks.

- Have you identified any risks, which may arise if the recommended actions do not take place? YES / NO

If the answer is YES to this question then you should include the **Option 5** statement in the Risk Management

section of your report with details of the risks.

3 Option statements to be included in your report

Option 1

I have completed the Risk Management questionnaire and this report does not require a risk assessment because the changes/issues covered by the recommendations are not significant in terms of risk.

Option 2

I have completed a risk assessment in accordance with the Council's Risk Management methodology and the following risks and mitigating factors have been identified.

Note: The format for describing the risks and mitigating factors is at the discretion of the author of each report.

Option 3

I have completed a risk assessment in accordance with the Council's Risk Management methodology and have identified the following risks that I propose to mitigate in the following ways with the additional insurance/control costs outlined.

Note: The format for describing the risks, mitigating factors and additional insurance/control costs is at the discretion of the author of each report.

Option 4

I have completed a risk assessment in accordance with the Council's Risk Management methodology and have identified the following residual risks that cannot be mitigated by existing or planned procedures and controls.

Note: The format for describing the risks, mitigating factors, associated costs and residual risks is at the discretion of the author of each report.

Option 5

The risk assessment indicates that if the recommendations are not implemented the following risks may occur.

Note: The format for describing the risks, likelihood and impact is at the discretion of the author of each report.

Note:

Please retain completed questionnaires, risk assessments and supporting documentation because these arrangements will be subject to audit. There is no need to send these papers to Democratic Services or the Internal Auditor.