



Overberg District

Risk Management Shared Services



ANNUAL IMPLEMENTATION PLAN:

2020/2021

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1. PURPOSE OF THIS DOCUMENT

This document sets out the annual district-wide risk management implementation plan.

This Risk Management Implementation Plan was compiled in adherence to the guidelines of National Treasury and in support of good governance principles.

2. INTRODUCTION

The Risk Management Implementation Plan forms part of the Risk Management Framework and describes how the strategy is to be implemented during the 2021 /2021 financial year across the district.

The Risk Management function in the Overberg District operates under a Shared Services Charter. The primary goal of this agreement is to provide:

- standardized model for minimum services
- promote integration and foster cooperation
- help drive continuous improvement and build a more risk mature environment

The following municipalities participate in the Risk Management Shared Services for the 2020/2021 financial year:

- Overberg District Municipality (ODM)
- Cape Agulhas Municipality (CAM)
- Theewaterskloof Municipality (TWK)
- Swellendam Municipality (SWD)

3. OBJECTIVE

The Risk Management Implementation Plan for the Overberg District was prepared to give effect to the implementation of the Risk Management Framework of each of the municipalities within the district and sets out all the risk management activities planned for the 2020/2021 financial year.

It sets out the minimum services that are expected to be delivered by the shared risk function. It also provides the bases on which individual municipal implementation plans are prepared.

4. APPROACH

The following factors were taken into consideration with the development and compilation of the District-Wide Risk Management Implementation Plan:

- The Risk Management Strategies within the Overberg District
- The Risk Management Policies within the Overberg District

- The Fraud Prevention Policies & Plans within the Overberg District
- The Ethics Policies within the Overberg District
- Available Resources

5. DETAILED RISK MANAGEMENT IMPLEMENTATION PLAN

The detailed Risk Management Implementation Plan is included on the pages that follow.

MEASURE	ACTION	FREQUENCY	DUE DATE	RESPONSIBLE PERSON(S)
HUMAN RESOURCE CAPACITY	Identify Risk Management Champions (RMC) within the municipality.	As required	Ongoing	Management/MM
	Formally appoint Risk Management Champions.	As required	1 July each year	MM
	Facilitate orientation and training for Risk Management Champions.	Ongoing	Ongoing	CRO
PROVINCIAL CHIEF RISK OFFICER FORUM	Nominate a member and proxy to the forum.	Once-off	1 July 2020	MM
	Attend CRO / CAE forum meetings	Bi-Annually	CRO/Alternates	CRO and Risk Management Implementers (RMI) from each Municipality
STRATEGIC RISK IDENTIFICATION & ASSESSMENT	Arrange a strategic risk identification and assessment workshop.	Annually	Feb-Mar 2021	MM/CRO
	Prepare for the workshop, by obtaining the municipality's strategic objectives.	Annually	Feb-Mar 2021	CRO
	Send notification of the workshop to the various department heads.	Annually	Feb-Mar 2021	CRO
	Send preparation packs.	Annually	Feb-Mar 2021	CRO
	Facilitate the strategic risk identification and assessment workshop. (Inherent & residual risk assessment)	Annually	Feb-Mar 2021	CRO
	Ensure that all risks, controls, risk owners, risk responses and actions and dates are captured.	Annually	Feb-Mar 2021	CRO

MEASURE	ACTION	FREQUENCY	DUE DATE	RESPONSIBLE PERSON(S)
	Review the quality of the risk descriptions.	Annually	Feb-Mar 2021	CRO
	Generate a strategic risk report.	Annually	Feb-Mar 2021	CRO / RMC
	Submit the strategic risk report to the FARMCO.	Annually	Mar-Apr 2021	CRO / RMC
	Submit the minutes of the FARMCO meeting to the AC.	Annually	June 2021	CRO / AC
	Submit the report to the MM and the various department heads.	Annually	May 2021	CRO / RM implementers
	Submit the report to Council.	Annually	June 2021	MM / CRO
DCF TECH	Submit a quarterly progress report to DCFTech with regards to risk management on the Shared Services Business Model.	Quarterly	Quarterly	CRO
OPERATIONAL RISK IDENTIFICATION & ASSESSMENT	Arrange operational risk identification & assessment workshops with the various departments.	Annually	Feb-Mar 2021	MM/CRO
	Prepare for the workshop, by obtaining the objectives of each department etc.	Annually	Feb-Mar 2021	CRO
	All Municipal Directorates:			
	Facilitate the operational risk identification and assessment workshop. (Inherent & residual)	Annually	Feb-Mar 2021	Risk Management Champions / CRO
	Ensure that all risks, controls, risk owners, risk responses and actions and dates are captured.	Annually	Feb-Mar 2021	CRO
	Ensure that risks are rated fairly.	Annually	Feb-Mar 2021	CRO

MEASURE	ACTION	FREQUENCY	DUE DATE	RESPONSIBLE PERSON(S)
	Generate an operational risk report for the directorates, highlighting the high risks.	Annually	Feb-Mar 2021	CRO
	Submit the report to the risk management oversight committee.	Annually	Feb-Mar 2021	CRO/FARMCO
	Submit the minutes of the risk management oversight committee meeting to the AC.	Annually	Feb-Mar 2021	CRO/AC
OPERATIONAL RISK REGISTER	Consolidate the various risk identified by the Risk Champions.	Annually	Mar 2021	CRO
	Provide Internal Audit with the approved operational risk register upon request.	Annually	Mar 2021	CRO/IA
INFORMATION & COMMUNICATION	Communicate progress of the Risk Management Implementation Plan and any changes to the plan to the MM and Risk Management Oversight Committee.	Quarterly	Quarterly	CRO/MM/ FARMCO
EVALUATION OF THE ERM SYSTEM	Audit of risk management effectiveness.	Annually	Per the IA Plan	IA
TRAINING & SUPPORT	Identify training interventions for the CRO and his/her staff (if any).	Ongoing	June 2021	MM/CRO
	Attendance to training and workshops.	Ongoing	June 2021	CRO
OTHER	Review the: <ul style="list-style-type: none"> - Risk Management policies / frameworks - Business Continuity Framework 	Annually	April 2021	CRO
	Ethics Awareness	Ongoing	June 2021	CRO

6. REVIEW OF RISK MANAGEMENT IMPLEMENTATION PLAN

The District-Wide Risk Management Implementation Plan will be reviewed annually.

7. RECOMMENDED BY

Chief Risk Officer

8. APPROVED BY

Municipal Manager
Cape Agulhas Municipality

Municipal Manager
Theewaterskloof Municipality

Municipal Manager
Swellendam Municipality

Municipal Manager
Overberg District Municipality

Date signed: _____