



Risk Management Program

INTRODUCTION

Risk management is an integral, visible, and consistent part of routine management activity across the Town.

Managing risk and uncertainty is critical to the successful delivery of services. The Town of Shallotte is committed to implementing a program-wide risk management culture, adopting best practice in the identification, evaluation, and effective management of risk.

Risk management is an essential part of good project management and is a central responsibility of all those working in each department. Effective risk management will assist the successful delivery of services by:

- Supporting individuals and teams to identify and manage hazards and behaviors relevant to their own positions, giving them a greater chance of success.
- Eliminating or reducing hazards, identifying, and capturing opportunities to improve safety.
- Providing clear evidence to all stakeholders that the Town of Shallotte recognizes, understands and is controlling the risks associated with each department.
- Improving decision-making by encouraging the identification and discussion of risks.
- Ensuring budget allocations, procurement and contract structuring decisions, and the management of contingency to ensure that funds are used effectively in supporting the management of risks.
- Clarifying the Town of Shallotte's understanding of compliance is relevant to governance, legal and regulatory requirements.

This policy applies to all aspects of the Town of Shallotte. The Town of Shallotte will ensure the availability of resources needed to implement this policy, communicate it, and ensure that it remains effective and relevant through regular reviews and updates.

RISK MANAGEMENT POLICY

The Town of Shallotte is committed to risk management as an integral part of its governance and operations, developing strategies and systems to minimize risks. The identification and management of risk is undertaken in a systematic process, using the principles set out in the best practices for risk management.

Purpose

The primary purpose of this policy is to promote an integrated, holistic approach to risk management and to ensure that all risks that could affect the achievement of our objectives are identified, assessed, and treated to an acceptable level. The embedding of the risk management framework into our strategic and operational decision-making process helps us to make informed decisions for the benefit of our stakeholders.

Statement of Practice

- 1) Promote and support risk management practices across the Town's area of responsibility through the implementation of a framework that provides a process to identify, analyze, assess, and prioritize all areas of risk based upon the nine core risks.

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Risk Management Program

Note: This document is intended to be consistent with existing OSHA Specific standards; therefore, if an area is considered by the reader to be inconsistent with a standard, then the OSHA Specific standard should be followed.

- a. People
 - b. Financial and economic
 - c. Technology and information management
 - d. Assets and security
 - e. Environment
 - f. Service delivery
 - g. Ethics and public image
 - h. Leadership and governance
 - i. Risk management organization
- 2) Monitor, review and update the risk register identifying both strategic, operational and project risks in consultation and communication at all levels.
 - 3) Provide adequate information, training and supervision to staff, committees, Council members and volunteers.
 - 4) Develop and implement policies, procedures, and strategies to guide and assist staff in their operational areas.
 - 5) Reduce the exposure of the community to losses and injury, through sound planning and implementation.

Policy Statement

The Town of Shallotte is committed to embedding risk management to create and maintain an environment that enables the delivery of quality services and meet performance objectives in line with the principle of seeking continuous improvement. To meet this commitment, risk management is every employee's responsibility. All employees are required to be competent and accountable for adequately managing risk within their area of responsibility.

Roles and Responsibilities

All employees are responsible for effective risk management practices and ensuring that management is aware of risk associated with operations. This extends to recommending suitable plans to manage risks and obtaining appropriate approval prior to action.

Each department head and supervisor are accountable for implementing this policy in the respective department, including operational actions arising from the risk register.

Department heads are responsible for their department's risk management performance, including implementation of the strategy, ensuring appropriate resources are made available on a priority basis.

The Safety Committee (aka Risk Management Advisory Group) facilitates and monitors implementation of the current risk management plan and reports to the Town Manager.

The Fire Chief (Senior Risk Management Advisor) is tasked with the development and provision of risk management awareness and training.

The Department Heads are responsible for monitoring the implementation of this policy. A detailed schedule of reporting is provided in the current risk management plan.

KEY STRATEGIES

Strategies to improve the management of risk in the Town of Shallotte shall be driven within the framework of best practice.

Strategy	Notes
<p>Risk Management Strategy:</p> <ul style="list-style-type: none"> a) Risk Management Policy b) Risk Management Strategic Plan 	<p>The Risk Management Strategy suite of documents relate to setting the strategy, direction, and a benchmark for staff to achieve through the application of risk management and the culture of risk within the Town of Shallotte. This includes how risk will be communicated to employees and management.</p>
<p>Risk Management System:</p> <ul style="list-style-type: none"> a) Risk Management Framework b) Risk Management Process 	<p>The Risk Management System suite of documents sets and provides the systems, processes, and tools in identifying, managing, and documenting risks to meet the desired risk management culture. The system includes risks from strategic, operational and projects.</p>
<p>Risk Management Training Program:</p> <ul style="list-style-type: none"> a) Loss History b) NeoGOV.com & NCDOL c) Guides 	<p>The Risk Management Training Program provides the support and guidance to new employees (at manager, coordinator, and team leader level) in maximizing the components of the risk management system. Customized delivery should relate to the various users of the risk management system's needs.</p>
<p>Risk Register</p> <ul style="list-style-type: none"> a) Administration b) Departments 	<p>Risk Registers will be maintained as a central repository of all identified risks within the Town. It will assist risk and control owners in managing their risks and Department Heads to oversee the application of risk across their department's activities.</p>
<p>Risk Reporting</p> <ul style="list-style-type: none"> a) Risk and Control Owners b) Administration, Department Heads, Supervisors and Team Leaders c) Safety Committee (Risk Management Advisory Group) 	<p>Risk Reporting includes proactive reporting to allow key stakeholders to monitor and manage their potential exposures and improve decision making, in relation to which risks, or controls require attention.</p>
<p>Assurance and Self-Assessment</p> <ul style="list-style-type: none"> a) Risk and Control Owners b) Department Heads and Team Leaders c) Safety Committee (Risk Management Advisory Group) 	<p>By undertaking self-assessments and seeking assurance, resources to high-risk items and the controls in place mitigating potential exposure can be more effectively provided.</p>

ROLES, RESPONSIBILITIES AND PERFORMANCE REPORTING

All employees and service providers are responsible for effective risk management practices and ensuring that supervisors are informed of risks associated with operations. Each Department Head is accountable for implementing this policy in his or her area of responsibility.

Specifically, this means the responsibility for the management of risk can be described as follows:

POSITION	RESPONSIBILITY
Town Manager	responsible for the management of risk across the Town
Fire Chief	establishes and facilitates a risk management process throughout the Town. · Develops the Risk Management Policy and Strategic Plan · monitors the implementation of the Strategic Plan · collates and analyses risk data and recommendations to Town Manager · chairs the Safety Committee (Risk Management Advisory Group)
Safety Committee	monitors the implementation of this Plan · investigate incidents and reported risks; ensure the Town Manager receives reports implement this plan; designs the risk framework for the Town to follow · provides expert advice to Department Heads and Supervisors and Team leaders · implements the risk management strategic plan.
Department Heads	implement this plan · identify, assess, and manage all their risks · develop and implement risk management plans for their risks · allocate appropriate resources to achieve plans · monitor, review, and report risk management performance · report high or extreme risks promptly to the Safety Committee · develop action plans for significant or extreme risks.
Supervisors Team Leaders	manage (assess, treat, monitor and review) risks in their areas · update risk registers · report significant and high risks as required · champion risk management in their area · actively monitor existing risks and controls and monitor their respective environment for new and emerging risk issues. Leads and drives a positive risk culture · actively communicates and promotes risk management across operations ·

SERIOUS INCIDENT INVESTIGATION

A formal investigation is conducted for all fatalities, serious or potentially serious injuries and significant equipment damage accidents.

The Serious Incident Investigation Review is conducted when an accident results in a fatality or potential fatality. The following describes the types of accidents that should be formally investigated.

- An accident/mishap resulting in personal injury or death to any party.
- Any accident/mishap which may involve violation of a department policy, procedure, or regulation.
- Any accident or mishap involving the care or handling of a patient.

- Any accident or mishap which involves a vehicle not owned by the Town and has the potential for a serious claim. Serious claims can result from any injury.
- Any series of accidents involving the same person, especially where accidents occur over a relatively short period of time or involve similar circumstances.
- Any series of accidents that occur in a particular location.
- Near misses or "close calls," regardless of whether they resulted in actual injury or property damage.

REPORTING PROCEDURES

Employees involved in an incident should immediately contact their Team Leader, Supervisor or Department Head and communicate essential information regarding the incident.

The Department Head should immediately notify the Town Manager followed by members of the Safety Committee.

Drivers should receive initial and annual training on accident reporting and demonstrate the ability to describe the procedures, actions, and information to be taken in the following circumstances.

- Collisions involving the Town's owned or leased vehicles.
- Collisions with any object or person by vehicles being used on the Town's property regardless of ownership.
- Any damage which occurs to any Town vehicle, whether moving or parked, while operated by an employee.
- Involvement in any accident when damage claims might be made, despite the Town vehicle not having contacted other objects or vehicles. Minimum information that should be gathered at the scene by the driver includes names, addresses, driver's license numbers, car license numbers, and insurance information of all others involved, including witnesses.
- Mishaps involving patient drops, toppled stretcher, patient care procedural errors, etc.

INVESTIGATION PROCESS

An investigation is conducted in five or six phases depending on the nature of the incident and the severity or potential severity of the injury or equipment damage.

Phase I: Control the Scene of the Incident. The Town Manager's, Department Head's, and Safety Committee's (Investigative Team) initial concern is to ensure that injured people are cared for, and the scene of the incident is secured to prevent further accidents and to preserve evidence.

Phase II: Collect Information. During this stage, the investigative team collects information through observations and interviews. The investigative team collects all the information needed to analyze and determine the cause of the accident, injury, or exposure. Only when the appropriate types of information are collected can the investigative team logically determine the cause of the accident.

Phase III: Analyze the Information (Incident Analysis). After information has been collected, the investigative team needs to begin to make some preliminary determinations as to what is the immediate cause and what may be the root

cause. Thorough and accurate analysis of information is crucial to the task of preventing accidents, injury, or exposure from occurring again in the future. The objective of this phase is preliminary identification of the causes. Information gained later may change the cause determination.

Phase IV: Complete the Accident Report. A complete and accurate Accident Report is crucial to the investigation process. The report is used to document the conditions and events related to the incident. The report must accurately and clearly describe the events related to the incident, the causes, and recommend corrective actions to prevent recurrence. The Incident Accident Report is used to inform all appropriate employees through orientations and contacts of lessons learned and to serve as a record to help analyze the long-term trends in accidents, injuries, and exposures.

Phase V: Conduct a Formal Investigation, If Needed. A formal accident investigation is conducted for all fatalities, serious or potentially serious injuries, and significant equipment damage accidents. The formal investigation is conducted as a meeting with the investigator, high level management representatives, attorneys, insurance claims representatives, union representation (if applicable), and the employee(s) involved to ensure that the investigation was conducted completely and that the recommended corrective actions will prevent recurrence.

Phase VI: Follow Up on Corrective Actions. The investigation process cannot be completed until corrective actions have been implemented to correct the conditions or human factors that contributed to the accident, injury, or exposure. A system for monitoring implementation of the corrective actions is necessary to ensure that the conditions can be prevented in the future.

CORRECTIVE ACTIONS

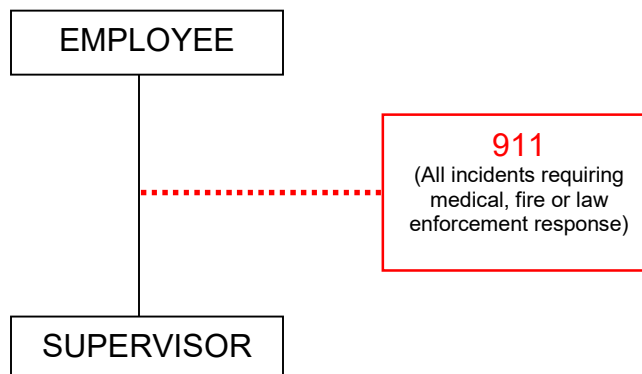
All corrective action shall be consistent with the Town of Shallotte’s Personnel Policy.

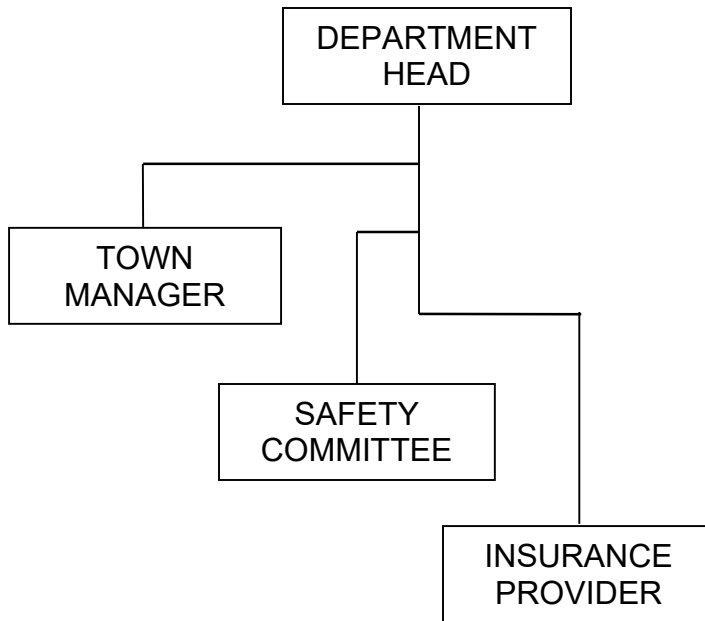
Where remedial training is warranted, employees may be extended an opportunity to participate in free online safety training offered by the North Carolina League of Municipalities through NeoGOV.com or online training offered by the North Carolina Department of Labor.

Other employees might be required to attend programs that are offered to support their specific operational area.

Regardless of which is required, the employee must provide proof of satisfactory completion.

NOTIFICATION CHART





INVESTIGATION CHART

Phase I: Control the Scene of the Incident.

Phase II: Collect Information.

Phase III: Analyze the Information (Incident Analysis).

Phase IV: Complete the Accident Report.

Phase V: Conduct a Formal Investigation, If Needed.

Phase VI: Follow Up on Corrective Actions.