



ALFRED NZO DISTRICT MUNICIPALITY

RISK MANAGEMENT IMPLEMENTATION PLAN

2011/2012

RISK MANAGEMENT IMPLEMENTATION PLAN 2011/2012

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RISK MANAGEMENT IMPLEMENTATION PLAN 2011/2012

1. Purpose of this document

This document sets out the annual risk management implementation plan.

2. Objective

The risk management implementation plan for the Alfred Nzo District Municipality was prepared to give effect to the implementation of the risk management framework and sets out all risk management activities planned for the 2011/2012.

3. Approach

The development of the risk management implementation plan has taken into consideration:

- The Risk Management Framework;
- The Fraud Prevention Plan;
- The available resources;
- Urgency, quick wins and sustainability.

4. Detailed risk management implementation plan

The detailed risk management implementation plan is included below and the risk management activities encompassed in this plan will be performed for the municipality as well as Alfred Nzo Development Agency (ANDA).

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QUARTER ONE		
Risk planning		
Development of risk management implementation plan	Risk Manager 15/11/2011	Signed risk management implementation plan for 2011/2012
Introduction to Risk Management		
Introduce the concept of risk management to management and Mayoral committee	Risk Manager 31/11/2011	Conduct a presentation to management and Mayoral committee on risk management
Present the risk management implementation plan to management and Mayoral Committee	Risk Manager 31/11/2011	Signing of the pledge by Management and Mayoral Committee as a commitment to support risk management activities
Monitoring of action plans		
Monitor the implementation of risk management action plan	Risk Manager & MM 31/11/2011	Issue and present a report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our internal control assessment status	Risk Manager & MM 31/11/2011	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council
Discuss the status of DWA RPMS with the Senior Manager: Technical Services and WSA Manager, Obtain reasons for non-performance and Obtain actions to improve the RPMS status	Risk Manager 31/11/2011	Report to MANCO and Mayoral on the status of the RPMS status

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Activity	Output	Outcome
Reporting		
Report on the implementation of the RM implementation plan	Risk Manager & MM 07/12/2011	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Establishment of Committees		
Establishment of a Risk & Anti-fraud and Corruption Committee	Risk Manager & MM 31/12/2011	Risk & Anti-fraud and Corruption Committee
Develop terms of reference of the committee and present them to Management & Mayoral committee	Risk Manager 31/12/2011	Terms of reference of the Risk and Anti-fraud and Corruption Committee
Capacitate risk and anti-fraud and corruption committee members on their roles and responsibilities	Risk Manager 31/12/2011	Workshop members of the risk and anti-fraud and corruption committee on their roles and responsibilities
Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 31/12/2011	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plan	Risk Manager & MM 31/12/2011	issue and present a report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our internal control assessment status	Risk Manager & MM 31/12/2011	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council

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Monitor the implementation of AG action plan	Risk Manager & MM 31/12/2011	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Reporting		
Report on the implementation of the RM implementation plan	Risk Manager & MM 07/01/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
QUARTER TWO		
Training/Workshop		
Workshop Management and Councillors on Risk Management Framework	Risk Manager 31/01/2012	Capacitated Management and Councillors on Risk Management framework
Risk management communication		
Communicate the stance of management and Council to all stakeholders	Risk Manager 31/01/2012	Frame and display risk management policy statement
Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 31/01/2011	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plan	Risk Manager & MM 31/01/2011	Issue and present a report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG action plan	Risk Manager & MM	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council

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Activity	Official in charge	Output/Outcome
	31/12/2011	
Monitor the implementation of AG dashboard report to improve our internal control assessment status	Risk Manager & MM 31/01/2011	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Reporting		
Report on the implementation of the risk management implementation plan	Risk Manager & MM 07/02/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Risk Assessment		
Conduct Fraud Risk Assessment workshop	Risk Manager 28/02/2012	Fraud risk register and action plan
Review the fraud prevention plan in line with the fraud risk assessment and develop the anti-corruption strategy	Risk Manager 28/02/2012	Revised Fraud prevention plan and Anti-corruption strategy
Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 28/02/2012	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitoring the implementation of AG action plan	Risk Manager & MM 28/02/2012	Issue and present a report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our assessment status	Risk Manager & MM 28/02/2012	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council

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Monitor the implementation of risk management action plans	Risk Manager & MM 28/02/2012	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Management reports		
Review of management reports i.e. incident/accident report, insurance report, Occupational Health & Safety reports, etc.	Risk Manager & MM 28/02/2012	Issue and present a monthly report to MANCO, Risk Committee, Mayoral and Council
Reporting		
Report on the implementation of the risk management implementation plan	Risk Manager & MM 07/03/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Risk management infrastructure		
Development of compliance register	Compliance Officer 31/03/2012	Compliance register
Communicate the fraud prevention plan and anti-corruption strategy to management, Councillors and all stakeholders	Risk Manager 31/03/2012	Workshop management and councillors Frame and display Anti-fraud and corruption policy statement
Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 31/03/2012	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitoring the implementation of AG action plan	Risk Manager & MM 31/03/2012	Issue and present a report to MANCO, Risk Committee, Mayoral and Council

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Activity	Frequency	Responsible	Output/Report
Monitor the implementation of AG dashboard report to improve our assessment status	Risk Manager & MM 31/03/2012		Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plans	Risk Manager & MM 31/03/2012		Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Management reports			
Review of management reports i.e. incident/accident report, insurance report, Occupational Health & Safety reports, etc.	Risk Manager & MM 31/03/2012		Issue and present a monthly report to MANCO, Risk Committee, Mayoral and Council
Reporting			
Report on the implementation of the risk management implementation plan	Risk Manager & MM 07/04/2011		Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
QUARTER THREE			
Risk management infrastructure			
Conduct a Strategic Risk assessment workshop	Risk Manager 30/04/2012		Strategic Risk Register and action plan
Conduct IT risk assessment workshop	Risk Manager 30/04/2011		IT risk register and action plan
Monitoring of action plans			
Monitor the implementation of RPMS action plan	Risk Manager & MM 30/04/2012		Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council

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Monitoring the implementation of AG action plan	Risk Manager & MM 30/04/2012	Issue and present a monthly report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our assessment status	Risk Manager & MM 30/04/2012	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plans	Risk Manager & MM 30/04/2012	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Monitor the compliance with laws and regulations	Compliance Officer Risk Manager 30/04/2012	Issue and present a report on compliance to laws and regulations to the Risk Manager Issue a report on the status of compliance with applicable laws and regulations
Reporting		
Report on the implementation of the risk management implementation plan	Risk Manager & MM 07/05/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Risk Management framework		
Review of risk management framework	Risk Committee 31/05/2012	Revised risk management framework
Risk management communication		
Communicate the revised risk management framework to management and Councillors	Risk Manager 31/05/2012	Workshop management and Councillors on the revised risk management framework

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Activity	Officials/air staff	Outputs/Outcomes
Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 31/05/2011	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitoring the implementation of AG action plan	Risk Manager & MM 31/05/2012	Issue and present a monthly report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our assessment status	Risk Manager & MM 31/05/2012	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plans	Risk Manager & MM 31/05/2012	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Monitor the compliance with laws and regulations	Compliance Officer Risk Manager 30/05/2012	Issue and present a report on compliance to laws and regulations to the Risk Manager Issue a report on the status of compliance with applicable laws and regulations
Management reports		
Review of management reports i.e. incident/accident report, insurance report, Occupational Health & Safety reports, etc.	Risk Manager & MM 31/05/2012	Issue and present a report to MANCO, Risk Committee, Mayoral and Council
Reporting		
Report on the implementation of the risk management implementation plan	Risk Manager & MM 07/06/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Risk Management Planning		
Develop a risk management implementation plan for 2012/2013	Risk Manager 30/06/2012	Risk Management Implementation Plan 2012/2013

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Monitoring of action plans		
Monitor the implementation of RPMS action plan	Risk Manager & MM 30/06/2011	Report on the status of the implementation of RPMS action plans to MANCO, Risk Committee, Mayoral and Council
Monitoring the implementation of AG action plan	Risk Manager & MM 30/06/2012	Issue and present a monthly report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of AG dashboard report to improve our assessment status	Risk Manager & MM 30/06/2012	Report on the status of the dashboard report to MANCO, Risk Committee, Mayoral and Council
Monitor the implementation of risk management action plans	Risk Manager & MM 30/06/2012	Report on the status of implementation of RM action plan to MANCO, Risk Committee, Mayoral and Council
Monitor the compliance with laws and regulations	Compliance Officer & Risk Manager 30/06/2012	Issue and present a report on compliance to laws and regulations to the Risk Manager Issue a report on the status of compliance with applicable laws and regulations
Reporting		
Report on the implementation of the risk management implementation plan	Risk Manager & MM 30/06/2012	Issue a report to the Municipal Manager on the implementation of the plan Present the report to the monthly MANCO, Risk Committee, Mayoral and Council
Quarterly reports to the Audit Committee	Risk Committee 30/06/2012	Issue and present a report to the Audit Committee

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Prepared by:



H Zantsi – Risk & Compliance Manager

Date: 22/11/2011

Approved by:



M Moyo - Municipal Manager

Date: 22/11/2011

Endorsed by:



Mayoral Committee

Councillor E. Diko - Executive Mayor

Date: 23/11/2011