



# Annual Awards 2009 Entry Form

Name of organisation Derbyshire County Council

Contact name Tom Smith

Job title Risk Manager

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Name of endorsing person Graham Hunt

Job title Director of Finance

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Please tick the relevant box below to indicate which category you wish to enter

Risk Manager of the Year	<input type="checkbox"/>	People Risk	<input type="checkbox"/>	Asset Risk	<input type="checkbox"/>
Operational Risk	<input type="checkbox"/>	Strategic Risk	<input type="checkbox"/>	Risk Management Young Achiever of the Year	<input checked="" type="checkbox"/>

N.B. If you wish to enter more than one category, a separate entry form is required for each category.

*“This has been an exceptional year for Tom, the senior management team appreciate the difference he has made and feel that the Younger Achiever Award would give him the recognition he deserves for his outstanding contribution to the team and major achievements in his personal development over the past year”* Graham Hunt, Director of Finance.

Tom is a highly motivated risk professional who has enthusiasm and passion for his discipline. His commitment, knowledge and energy have been key to the successful development of risk management in the council and his contribution to the team over the past year. Tom has raised the profile of the insurance and risk management section, department and risk management in the organisation, making a huge contribution to the service and across all areas of the Council. He has been instrumental in establishing risk management as an embedded discipline of the Councils strategic management and governance arrangements. His contribution to major projects over the past year has been outstanding during challenging times. As the only full time risk professional in a large County Council with over 37,000 employees he works effectively with limited resources. He is an excellent communicator who has worked well to empower and engage others to manage risk. His efforts are visibly increasing organisational risk management capability.

In terms of operational risk Tom has continued to work hard and collaboratively to reduce losses across the Council. He has managed the successful delivery of over 100 risk improvement projects valued in excess of £500,000 in 2008/09. He has achieved a 93% client satisfaction rate in the most recent project evaluations whilst making the significant achievement of driving down losses over a three year period, year on year. This has included significant reductions in the total cost of claims during 2008/09 including 50% in arson, 40.3% in ICT and 22.7% vandalism, compared to 2007/08.

Despite a heavy workload and increasing demands on his time Tom has continued to pursue his personal development over the past 12 months with outstanding results. His achievements have included gaining his Prince 2 practitioner qualification; the Institute of Risk Management Fellowship membership through dissertation; and completion of the research module in the MSc Risk Management course. He has also ensured that his personal learning is applied to his role and for the wider benefit of the Council and the risk community. His efforts demonstrate his firm commitment to risk management and to the highest standards of professional and personal development.



**Risk Management  
Young Achiever of  
the Year 2009**

**Tom Smith,  
Risk Manager  
Derbyshire County  
Council**



**Introduction**

Tom joined Derbyshire County Council as Risk Manager in 2000 with an operational based role. Since then his role has evolved substantially and he now spends the majority of his time working on strategic and project risk management, whilst still retaining responsibility for managing operational risk. A part time assistant supports him in undertaking security surveys and administration. With limited resources Tom works creatively to ensure that the risk management service can be delivered effectively in such a large organisation. Tom works in the Insurance and Risk Management section within a small team of six employees.

He supports staff in the section in delivering high quality risk and insurance services to the Council and external bodies. Tom's contribution to the team and Finance department has increased the profile of risk management across the Council and with external clients. Some of Tom's key achievements over the past year include;

**Strategic Risk Management**

Tom has continued to drive forward Corporate Risk Management at all levels of the Council, highlights include;

- Leading the annual strategic risk review, meeting with all senior management teams ensuring that risk management is integrated fully into service planning and budget setting process
- Presenting key risks for consideration at budget workshops with Cabinet Members and adopting a risk based approach to financial reserves planning
- Presenting updates on the Corporate Risk Register to Audit Committee
- Undertaking a full assessment of the organisation using the HM Treasury RMAF Framework
- Re-writing the Corporate Risk Management Strategy to reflect improvements arising out of the RMAF assessment and best practice
- Delivering training to new Directors, Senior Managers and project teams and promoting other opportunities to transfer skills and knowledge across the organisation

- Ensuring that the Authority has maintained a CPA Use of Resources score of 3 in risk management and has also achieved many aspects of level 4 criteria
- Meeting with the Audit Commission to better understand the CAA requirements, now working towards an internal self assessment
- Making a major contribution to a wide range of Council Projects and Partnerships as a member of:- the Waste Management project team delivering a £500m+ project in partnership with Derby City Council, the Grassmoor lagoons remediation project £5m+, the Core IT Systems evaluation team, the Building Schools for the Future (Wave 3 and 5 £170m+ programme) and the Single Status team. The work includes -
  - developing risk registers
  - ensuring robust risk management systems are in place
  - drafting sections for outline and final business cases
  - contributing to both traditional and competitive dialogue procurement processes
  - negotiating NEC3 and other contract clauses
  - influencing risk allocation
  - determining risk adjusted contract prices
  - evaluating bidders proposals for managing risk
  - contributing to Gateway Reviews
  - facilitating workshops
  - reporting to Project Boards and Cabinet

## Operational Risk Management

Tom continues to manage the Councils risk management projects, delivering over 100 schemes in 2008/9 valued in excess of £500,000 including extensive fencing schemes, CCTV and wheelie bin compounds. Tom ensures that expenditure is targeted and evaluated effectively. Recent service evaluation questionnaires from schools and departments gave a 93% service satisfaction and effectiveness response.



Tom's ICT theft reduction project was recognised when the Council won the 2008 ALARM Asset Award. Since then the results have improved further, with a 89.6% reduction in ICT theft over the past 5 years.

His effective risk management strategies have led to significant year on year reductions in all property losses over the past 3 years. The past year has been no exception, with reductions in both the number and total cost of claims –

Arson			
Year	No. of Claims	Total Cost £	Direction of travel
2006/7	10	1,229,482	▼
2007/8	4	63,489	▼
<b>2008/9</b>	3	31,730	▼ 50% on previous year
Theft of School IT Equipment (2008/09 updated since 2008 Award Submission, showing further reduction)			
Year	No. of Claims	Total Cost £	Direction of travel
2003/04	128	259,254	▼
2004/05	99	208,457	▼
2005/6	86	157,506	▼
2006/7	46	79,585	▼
2007/8	41	45,232	▼
<b>2008/9</b>	10	27,005	▼ 40.3% on previous year
Vandalism			
Year	No. of Claims	Total Cost £	Direction of travel
2006/7	152	78,275	▼
2007/8	100	72,676	▼
<b>2008/9</b>	83	56,195	▼ 22.7% on previous year

The Council's property portfolio is valued at over £1.6 billion with 1,350 buildings including a large number of consortia buildings, so these losses are impressively low and historically low for Derbyshire.



Working effectively with architects and Derbyshire Constabulary Tom has ensured that two new schools built this year have achieved the Secured by Design Award.

Since August 2007 Tom has been managing the former American Adventure theme park site that is owned by the Council. He has been instrumental in managing the inherent hazards on the 200 acre site, including former rides and infrastructure. His work has resulted in significant reductions in revenue costs during 2008/9. Savings of £90,000 have been achieved through the implementation of a demolition/remediation scheme and revised security arrangements.



*“Tom has worked hard co-ordinating activities at the America Adventure site to drive down costs and prepare the site for marketing. His innovative approach involving use of the site by other agencies has been a great success”* Peter Hirst, Head of Estates.

Tom supports the Children and Younger Adult Department, working with external partners in managing high risk cases; including threats to kill staff and carers and abduct children in our care. He has provided professional advice, attended and chaired Risk Strategy Meetings, Multi Agency Public Protection Panel meetings, undertaken risk assessments and overseen the implementation of risk management measures and contingency plans.



## **Personal Development**

### **Registered Risk Practitioner (RRP)**

As one of the first applicants for RRP status in 2005, Tom has continued to demonstrate significant CPD activity over the past year accumulating 19 points across a wide range of activities, including the Council's generic management development courses; recruitment and retention; learning and development system briefing; and the management development framework course.

He continues to contribute and support outside groups including ALARM, Institute of Risk Management (IRM) and to the East Midlands Risk Managers Group (EMRMG). Tom was the first local authority member of the IRM PFI/PP special interest group bringing a public sector perspective to its work. He was a member of the EMRMG benchmarking group examining the HM Treasury RMAF Model in Summer 2008. More recently he joined the ALARM benchmarking group to contribute to the development of the toolkit and which he hopes to pilot over the next few months, in anticipation of its launch. He will also be attending the ALARM annual conference.

### **Project Management**



Following Tom's growing involvement in major projects and Gateway reviews, he undertook the Prince 2 Foundation and Practitioner course in June 2008 achieving a 74% pass mark. Since the course he has been committed to embracing the principles of Prince 2 in all projects, supporting the development of a new project management toolkit and training package. The toolkit has been launched and pilot training has already been delivered to over 90 managers involved in a range of cross-cutting projects. He has also been sharing his knowledge and experience by supporting other Council officers in preparing to take the Prince 2 examinations.

## **Fellowship of the Institute of Risk Management**



After successfully completing the IRM Diploma examinations Tom achieved his Fellowship membership in July 2008. His Dissertation entitled “An examination of a top performing local authority to determine if risk management is really embedded in the organisation”. Primary data was collected using the Risk Management Assessment Framework HM Treasury model and employee attitude questionnaires. Tom presented a summary of the findings to the Councils Audit Committee in July 2008 where the work was commended by elected members. This work has been shared with risk management professionals in neighbouring authorities. A number of key areas for development were identified and have formed the basis of RM development in the organisation, including development of the RM strategy, developments in training, communication and toolkits. In September 2008 at Full Council Tom was commended by the Leader of the Council for achieving his Fellowship Membership of the IRM.

## **MSc Risk Management**



Tom enrolled on the MSc Risk Management distance learning course with Glasgow Caledonian in September 2008 (under the advanced standing scheme). He completed the Research and Information Module in the first semester achieving an impressive 72% mark in his critical review coursework examining management of the BSE crisis. He is working hard on his Dissertation titled “Is Risk Management delivering positive outcomes in local authorities?” The research is examining if successful risk management outcomes can be better quantified and measured in local authorities. The Council recognises that this is an important and timely area of research in light of the CAA focus on Outcomes and should be of benefit to all risk professionals. It is anticipated that Tom will complete the Dissertation by August, graduating in November 2009.