

Updated position on Risk Management Audit Actions

Ref. No.	Recommendation	Agreed Management Action/Comments	Delegated / Responsible Officer	Implement / Action Date	Position Update (as @ June 2021)
1a	Risk register review should be a standing agenda item (at least quarterly) at directorate and divisional meetings, and discussions and actions should be adequately documented to evidence what was discussed.	The risk strategy and approach to its implementation are currently being reviewed. A revised strategy will be discussed and agreed/endorsed by CLT with the aim of launching the strategy by May 2020. The strategy, or accompanying guidance, will include requirements for each Directorate/Division to have at least quarterly, documented risk register reviews and bi-annual risk identification exercises. In addition, the role and number of Risk Champions is being evaluated. As a minimum, each Directorate will be requested to re-nominate a Risk Champion and a deputy that are appropriately positioned and adequately resourced to fulfil the requirements role.	Paul Rock supported by the Interim Strategic Risk Advisor	May 2020	Risk registers now regularly feature on Directorate Leadership Team agenda. Actions are recorded at the meetings.
1b	New risk identification should be a standing agenda item (at least bi-annually) at directorate and divisional meetings, or other appropriate forums/workshops and discussions and actions should be adequately documented to evidence what was discussed and new risks identified.				Some risk identification exercises have been run at the request of a specific service or directorate, but this action will be carried forward into 2021-2022.
2a	The Council should ensure that all	The risk strategy and approach to its	Paul Rock	May 2020	Risk reports are provided to

Updated position on Risk Management Audit Actions

Ref. No.	Recommendation	Agreed Management Action/Comments	Delegated / Responsible Officer	Implement / Action Date	Position Update (as @ June 2021)
	risks and actions for risks, including review dates, are adhered to and that action progress is updated on the JCAD system, including whether the control is in place and percentage completion. Where controls are fully implemented the risk should be reviewed to ensure the risk score remains appropriate.	implementation are currently being reviewed. A revised strategy will be discussed and agreed/endorsed by CLT with the aim of launching the strategy by May 2020. The strategy, or accompanying guidance, will include requirements for each Directorate/Division to record and manage their risks (as currently stated in the Risk Management Strategy) on JCAD in line with the recommendations described above.	supported by the Interim Strategic Risk Advisor		CLT, DLT and specific boards e.g. H&S regularly. These reports provide an opportunity to challenge the accuracy and completeness of entries on JCAD. Actions are recorded by DLT's to improve entries where needed. The quality of risk entries is improving but further work is required; more regular quality sampling will be introduced in 2021-2022.
2b	Risks should include the description, the trigger and the consequence and controls should be described more clearly to include how an action will be carried out, and the frequency where relevant (e.g. monitoring). All actions should be SMART (Specific, Measurable, Attainable, Relevant and Time-bound)	The Risk Champions will be expected to encourage the use of JCAD and provide support where needed. In addition, we will explore alternatives for JCAD that may be more intuitive, provide desk top guides to using JCAD, an e-learning module for Risk Management and provide an annual programme of risk management awareness/training for each Directorate/Division.			Due to resources and the pandemic the work to evaluate JCAD and explore alternatives was suspended and will begin again in 2021-2022.
2c	The Council should ensure that controlled risk scores fall within the risk appetite as detailed within the Strategy				Training was also delayed due to resources and the pandemic. Some training was provided to Business Support Officers, more training and support materials (e-learning module, desktop guides) will be developed and delivered in 2021-2022.

Updated position on Risk Management Audit Actions

Ref. No.	Recommendation	Agreed Management Action/Comments	Delegated / Responsible Officer	Implement / Action Date	Position Update (as @ June 2021)
3a	<p>The Council should identify who has not received risk management training, to include;</p> <ul style="list-style-type: none"> the Corporate Leadership Team and Directorate Leadership Team members who have not attended the mandatory risk management training risk Champions who have not received risk management training other managers who would benefit from risk management training, who have risk management responsibilities i.e. identifying risks, owning risks, reviewing risks etc. 	<p>The risk strategy and approach to its implementation are currently being reviewed. A revised strategy will be discussed and agreed/endorsed by CLT with the aim of launching the strategy by May 2020.</p> <p>Risk Management training will be refreshed, and an annual programme instigated. Records of attendance for key roles (described above) will be established and maintained by Risk Management. Risk Management training will be mandated for Risk Champions. In addition, Risk Management will be launching a desk top guide to JCAD and an e-learning module for Risk Management.</p>	Paul Rock supported by the Interim Strategic Risk Advisor	May 2020	Most training was delayed due to resources and the pandemic. Some training was provided to Business Support Officers and specific individuals on request, more training and support materials (e-learning module, desktop guides etc) will be developed and delivered in 2021-2022.
3b	The Council should then ensure that all of the above receive the relevant risk management training, and that this is recorded on a risk management training database (e.g. spreadsheet),				

Updated position on Risk Management Audit Actions

Ref. No.	Recommendation	Agreed Management Action/Comments	Delegated / Responsible Officer	Implement / Action Date	Position Update (as @ June 2021)
	with the dates of when individuals have completed training				
3c	Risk management training should be made mandatory for Risk Champions.				
4a	If Risk Champions are unable to attend the meeting, the meeting should still proceed but an alternate sent in their place. This should be used sparingly and only if there is a valid reason why the risk champion is unable to attend. CLT members should ensure directorate members of the risk champions group attend group meetings by requesting feedback at directorate leadership team meetings.	The risk strategy and approach to its implementation are currently being reviewed. A revised strategy will be discussed and agreed/endorsed by CLT with the aim of launching the strategy by May 2020. The review will include the role and number of Risk Champions and the Terms of Reference for the Risk Champions Group. As a minimum each Directorate will be required to re-nominate their Risk Management Champion and a deputy that is appropriate positioned and adequately resourced to fulfil the requirements of the role. Meetings are currently scheduled a year in advance, and this will continue. Risk Champions and their management will be encouraged to incorporate the role into the PDR process.	Paul Rock supported by the Interim Strategic Risk Advisor	May 2020	The roles and terms of reference for Risk Champions was reviewed. Each Directorate nominated a Risk Champion to lead on risk in their respective Directorates. The Risk Champions meetings were reconstituted.
4b	The requirement to attend and actively participate in the Risk Champions Group should be included in Risk Champions appraisal objectives.				
5a	Discussion of the quarterly Risk Management Update report should be	The Corporate Risk Register will be	Head of Internal Audit, Fraud and	May 2020	The corporate risk register and risk management update

Updated position on Risk Management Audit Actions

Ref. No.	Recommendation	Agreed Management Action/Comments	Delegated / Responsible Officer	Implement / Action Date	Position Update (as @ June 2021)
	adequately documented within minutes, making it clear which challenges have been made, and outcomes of decisions to include any actions.	addressed and presented to CLT on at least a quarterly basis and in advance of the Audit Committee to allow enough time for amendments and updates to be incorporated. Risk Management will request this is reflected in the CLT forward plan. The updated Corporate Risk Register will then be addressed and presented to the Audit Committee. Risk Management will request (and confirm) that reviews and any decisions are adequately documented and actions are completed.	Risk supported by the Interim Strategic Risk Advisor		is presented regularly to CLT and in advance of the Audit Committee. Decisions and actions related to the update are recorded and followed up by CLT.
5b	Actions should be tracked, followed up and outcomes also documented within minutes of the Audit Committee meetings.				Actions arising from the Audit Committee are recorded and followed up by the Audit Committee clerk.