Updated position on Risk Management Audit Actions

| Ref. No. | Recommendation | Agreed Management Action/Comments | Delegated / Responsible Officer | Implement / Action Date | Position Update (as @ October 2022) |
|---|---|---|---|---|---|
| 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. | Previously: Paul Rock supported by the Interim Strategic Risk Advisor | Previously: May 2020 | Partially Implemented – with recognition continuous risk identification and review is required. Risk registers now regularly feature on Directorate Leadership Team agendas. Actions are recorded at the meetings. This is also an opportunity for new risks to be identified as well as current risks updated. |
| 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. |  | Current: Interim Head of Internal Audit, Anti-Fraud & Risk (and going forward permanent replacement) | Revised target: June 2023 | Some risk identification exercises have been run at the request of a specific service or directorate during 2020/21 and 2021/22, but this action will be ongoing into 2022/23.

A revised risk management strategy was agreed by CLT in March 2020 and later by the Audit Committee in July 2020 and remains relevant at this point in time.

The roles and terms of reference for Risk Champions was reviewed. Each Directorate |

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| | | | | | nominated a Risk Champion to lead on risk in their respective Directorates. The Risk Champions meetings were reconstituted. These will be refreshed and reintroduced during 2022/23. |
| 2a | The Council should ensure that all 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. | 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 record and manage their risks (as currently stated in the Risk Management Strategy) on JCAD in line with the recommendations described above. 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 | Previously: Paul Rock supported by the Interim Strategic Risk Advisor

Current: Interim Head of Internal Audit, Anti-Fraud & Risk (and going forward permanent replacement) | Previously: May 2020

Revised target: June 2023 | ***Partially implemented*** Risk reports are provided to CLT, DLT and specific boards e.g., CCB and 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 2022/23.

Due to resources and the pandemic the work to evaluate JCAD and explore alternatives was suspended and will begin again in 2022/23 under a |
| 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, | | | | |

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| | Measurable, Attainable, Relevant and Time-bound) | annual programme of risk management awareness/training for each Directorate/Division. | | | permanent Head of Internal Audit, Anti-Fraud & Risk. |
| 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 2022/23. |
| 3a | The Council should identify who has not received risk management training, to include; <ul><li>the Corporate Leadership Team and Directorate Leadership Team members who have not attended the mandatory risk management training</li><li>risk Champions who have not received risk management training</li><li>other managers who would benefit from risk management training, who have risk management</li></ul> | 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.<br><br>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. | Previously: Paul Rock supported by the Interim Strategic Risk Advisor<br><br>Current: Interim Head of Internal Audit, Anti-Fraud & Risk (and going forward permanent replacement) | Previously: May 2020<br><br>Revised target: June 2023 | Partially implemented 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 2022/23. |

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| | responsibilities i.e. identifying risks, owning risks, reviewing risks etc. | | | | |
| 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), 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 | Previously: Paul Rock supported by the Interim Strategic Risk Advisor<br><br>Current: Interim Head of Internal Audit, Anti-Fraud & Risk (and going forward permanent replacement) | Previously: May 2020<br><br>Revised target: June 2023 | **Partially Implemented** 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. These will be refreshed and reintroduced during 2022/23. |

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| 4b | The requirement to attend and actively participate in the Risk Champions Group should be included in Risk Champions appraisal objectives. | 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. | | | |
| 5a | Discussion of the quarterly Risk Management Update report should be adequately documented within minutes, making it clear which challenges have been made, and outcomes of decisions to include any actions. | The Corporate Risk Register will be 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. | Previously: Paul Rock supported by the Interim Strategic Risk Advisor<br><br>Current: Interim Head of Internal Audit, Anti-Fraud & Risk (and going forward permanent replacement) | Previously: May 2020 | *Implemented* The corporate risk register and risk management update 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.<br><br>Actions arising from the Audit Committee are recorded and followed up by the Audit Committee clerk. |
| 5b | Actions should be tracked, followed up and outcomes also documented within minutes of the Audit Committee meetings. | | | | |