

Ref	Recommendation	Priority	Management Action	Timescale	Office responsible	Progress as at 19 August 2013
5.4	The up to date Policy Statement, framework and strategy for risk management should be maintained on the S:net and publicised to enable all staff in the Council to be aware and fulfil their responsibilities and in turn allow the Council to fully meet its objectives. Any changes to the decisions made by the A&GC should be reported to the Committee for their approval before they take place.	High	The up to date Policy Statement and Strategy was approved by A&GC on 24 June 2013 and commended to Council for inclusion into the Constitution.	17 July 2013	R&GM	Completed.
			The Risk Framework will be updated and reviewed by the Strategic Risk Forum (for challenge and moderation) before all documents are loaded onto snet.	31 July 2013	R&GM	Completed: Risk policy and strategy are on the snet. Risk Framework has been updated, reviewed by the SRF and put on the snet.
			Communication of the updated documents will form part of the regular risk updates provided to Corporate Board, Strategic Risk Forum and Council Risk and Resilience Forum.	30 September 2013	R&GM	Completed: Update on the risk policy statement and strategy provided to SRF on 8 July, Corporate Board on 22 July and email sent to service risk reps on 5 July. Update on risk framework communicated via email to risk reps on 9 August. CRRF will be updated at their next workshop on 18 September.
			The link to snet will also be sent to all risk reps.	6 July 2013	R&GM	Completed: Link sent to Audit & Governance Committee on 4 July and to risk reps on 5 July.
			A risk update will be presented to the A&GC at the meeting in September.	2 September 2013	R&GM	On the agenda.
			In the longer term, the Strategic Risk Forum will consider:	31 March 2014	Strategic Risk Forum	SRF met on 31 July to begin to discuss risk culture and the work

			<p>a) how to assess the culture of risk management in service areas and propose an action plan to Corporate Board;</p> <p>b) the adequacy of risk management arrangements in light of Internal Audit shift to a risk based approach and propose an action plan to Corporate Board.</p>			required to assess the risk culture across the organisation.
5.8	The risk management guidance on S:net should be comprehensive and up to date with all the links working for staff in services to comply with the Council's requirements for risk management arrangements.	High	Appropriate and up to date guidance will be put on the snet and communicated as above (see 5.4).	31 July 2013	R&GM	Completed: Risk guidance page updated on snet to include risk induction pack and information on risk workshops. Communicated via email to risk reps on 9 August.
5.11	The R&G Manager should consider incorporating the additional useful information available from CIPFA's TIS Online facility to enable the Council to follow best practice.	Medium	<p>All risk management documentation is currently based on best practice from CIPFA, ALARM and IRM.</p> <p>The current documentation will be reviewed through the Strategic Risk Forum (including TIS online) and the risk documentation updated accordingly.</p>	31 December 2013	R&GM / Strategic Risk Forum	
5.16	The procedures for compiling the various risk registers should be streamlined and documented.	Medium	This will be incorporated into the risk framework as above (see 5.4).	31 July 2013	R&GM	Completed: Risk framework updated to include more detailed guidance (ref 5.4).
5.17	Services and directorates should maintain their risk registers and correctly cross reference them to each other.	High	This will be incorporated into the risk framework as above (see 5.16 and 5.4).	31 July 2013	R&GM	Completed: Risk referencing incorporated into the risk framework (ref 5.4).

	This should also separately show the risks that have been removed as part of the review so that the management trail is clear and any omissions of risks can be detected and rectified.		<p>A movement of risks section will be added to risk registers and communicated to risk reps.</p> <p>The Strategic Risk Forum Terms of Reference include regular review of emerging risks within each Directorate and escalation to Corporate Board as relevant. Minutes of Strategic Risk Forum and Corporate Board will ensure any changes discussed and agreed are recorded.</p>	<p>31 July 2013</p> <p>Ongoing</p>	<p>R&amp;GM</p> <p>R&amp;GM</p>	<p>Completed: Movement of risks incorporated into the risk framework and communicated (ref 5.4).</p> <p>Strategic Risk Forum notes and actions are available on snet.</p>
5.23	While clear guidelines on risk management should resolve many of the issues above in the short term, management should consider the purchase of an information technology based system in the medium to long term, for managing risks in an integrated manner.	Medium	An options paper evaluating benefits and costs of purchasing an IT system will be prepared and reviewed by the Strategic Risk Forum.	31 March 2014	Strategic Risk Forum	
5.24	As in 5.17 above, the risk registers on S:net should be up to date with correct details, for all staff to rely on and use in their work.	High	<p>Risk registers received by the Risk and Governance Manager will be posted on snet in a timely manner.</p> <p>Strategic Risk Forum will consider the extent to which services rely on s-net to access risk registers to ensure this method of communication is effective and relied upon.</p>	<p>Immediate effect.</p> <p>31 March 2014</p>	<p>R&amp;GM</p> <p>Strategic Risk Forum</p>	All risk registers received by the R&GM are available on the snet.

5.25	There should be a formal escalation policy to ensure that non-compliance with risk management responsibilities at all levels in the Council are highlighted in a timely manner and dealt with adequately.	Medium	An exception report will be provided to the quarterly Strategic Risk Forum and any issues escalated to Corporate Board as appropriate.	From next SRF meeting (8 July).	R&GM / Strategic Risk Forum	Completed: Monthly exception reports are provided to the SRF.
5.30	The roles, responsibilities and focus of the various risk groups should be clearly defined with the outcomes and actions by the groups widely reported on a regular basis. The links between the business activities of the groups should be established on S:net to increase awareness and improve understanding.	Medium	All risk groups have a terms of reference and the CRRF has an expectation set (available on snet), which include roles and responsibilities. Agendas and minutes are produced and circulated to all risk group members.  Each risk group will review its Terms of Reference on a regular basis (at least annually) to ensure they are up to date and relevant.  Links on snet will be established between the various risk activities.	31 March 2014  31 July 2013	R&GM  R&GM	Completed: Links to all risk activity are on the snet.
5.42	The R&G Manager should report fully, all the work undertaken including changes to existing arrangements to obtain agreement from Members. The information should also be widely communicated on S:net so that officers who require the information can access and use it.	Medium	Continue to present risk updates to the A&GC.  Continue to provide risk updates to risk reps and update snet.	With immediate effect.	R&GM	Risk updates are being provided to the A&GC.  Emails sent to risk reps with links to snet and relevant documents.