

# Appendix C

| Assessment Category     | Ref | Details of Recommendation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Action                                                                                                                                                                                               | Target Date | Complete |
|-------------------------|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------|
| Strategy and Policy     | R1  | On page 5 of the Risk Management Strategy, the Council could consider adding an additional tab for All Employees just to reinforce the message that every employee has a role in identifying risk and informing line management in order to maximise safety and minimise the possibility of threat incidents arising at all levels.                                                                                                                                                                                                                                        | Strategy will be reviewed at next update to take account of recommendations                                                                                                                          | Apr-23      |          |
| Strategy and Policy     | R2  | On page 7 of the Risk Management Strategy document, we recommend that under the "Key Decisions" heading, reference is made to include details of risk ownership when reporting risks associated with key decisions to the Executive                                                                                                                                                                                                                                                                                                                                        | Strategy will be reviewed at next update to take account of recommendations                                                                                                                          | Apr-23      |          |
| Strategy and Policy     | R3  | Guidance on Partnership risks should be included in the intranet toolkit. Areas to be addressed within the expanded guidance could include, for example: definition of partnership; drivers, challenges and risks; assessing the need for partnership working; establishing the partnership; governance, operating the partnership; performance measurement and management; accountable body status and associated risks; the partnerships register (if required) and a partnership toolkit comprising a series of good practice checklists or guidance notes. See also R8 | We recommend that the Council develops a corporate risk management training plan to provide targeted and appropriate training to each of the role levels identified in the Risk Management Strategy. | Sep-22      | Complete |
| Leadership & Management |     | No recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                      |             |          |
| People and Resources    | R4  | We recommend that the Council develops a corporate risk management training plan to provide targeted and appropriate training to each of the role levels identified in the Risk Management Strategy.                                                                                                                                                                                                                                                                                                                                                                       | A discussion around training needs was held at CRSSGP August 2022. Current arrangements are deemed adequate however a training plan will be drawn up in January 2023.                                | Apr-23      |          |
| People and Resources    | R5  | We recommend that the Council considers making risk management training mandatory for middle managers and above.                                                                                                                                                                                                                                                                                                                                                                                                                                                           | A discussion around training needs was held at CRSSGP August 2022. Current arrangements are deemed adequate however a training plan will be drawn up in January 2023.                                | Apr-23      |          |
| People and Resources    | R6  | Ensure that all new Elected Members receive risk management training and that those who sit on the Audit Committee receive a more detailed level of training on risk assessment                                                                                                                                                                                                                                                                                                                                                                                            | Training of Audit Committee is to take place in January/February 2023. Future training will be added to the training plan.                                                                           | Jun-23      |          |
| People and Resources    | R7  | Provide a training module on risk assessment for Service Managers (and Senior Managers who require it)                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | A discussion around training needs was held at CRSSGP August 2022. Current arrangements are deemed adequate however a training plan will be drawn up in March 2023.                                  | Apr-23      |          |

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| People and Resources          | R8  | Consideration should be given to the development of a Partnership risks toolkit or at least a specific Toolkit title which offers a checklist of specific issues to consider when risk assessing partnership or collaborative working options for service delivery. This should be consistent with the guidance on good governance from CIPFA / SOLACE. | Consideration of need for this discussed at CRSSGP in August 2022 as very few true partnerships. Considered at this time no further work required.                                                                                                                 | Aug-22 Complete |
| Processes and Tools           | R9  | The Council should consider whether risk reporting should move to a quarterly cycle rather than the current six monthly process                                                                                                                                                                                                                         | Work is underway to review risk as part of overall performance reporting. This is part of a corporate project. Work is underway to gain further licences to enable access to data at source.                                                                       | on-going        |
| Processes and Tools           | R10 | We recommend that the six-monthly reporting of risks and updated risk registers should also include a section on "horizon scanning" to ensure that there is an audit trail of consistent consideration of emerging risks and threats to the organisation.                                                                                               | Horizon scanning is reported through to Audit Committee. 1/4ly reporting to Directorates already takes place as part of the feedback to Directorate Groups. Work is underway how this can be incorporated into sharpcloud as part of the access to data at source. | Complete        |
| Risk Handling                 |     | No recommendations                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                    |                 |
| Partnerships and Shared Risks | R11 | We would recommend that a register is maintained of all partnership arrangement and collaborative working agreements to which the Council is party, perhaps maintained by Internal Audit as they will have a prime role in providing assurance on such arrangements.                                                                                    | Consideration of need for this discussed at CRSSGP in August 2022 as very few true partnerships. Considered at this time no further work required.                                                                                                                 | Complete        |
| Outcomes and Delivery         | R12 | We recommend that the Council consider developing a risk management dashboard on Sharp Cloud so that risks and any outstanding action points relating to service areas and directorates be clearly and quickly shown together with direction of travel.                                                                                                 | Work had already been started on this but was not available to view as part of the audit. Working with pilot group to refine information.                                                                                                                          | Apr-23          |