

Risk Management Action Plan - Actions Completed

Reference	Date Added	Title	Identified by:	Description of risk	Action to be taken	Owner	Deadline	Progress	Status	Completed Date
1a	31/10/2020	Risk Management Strategy	TIAA - Internal Audit of Risk Management	The risk management strategy needs to be updated annually and approved by Overview & Scrutiny annually	Risk Management Strategy to be updated annually and approved.	AY	31/03/2021	Strategy updated and approved by Council July 2021.	Complete	15/07/2021
1b	31/10/2020	Risk Management Strategy	TIAA - Internal Audit of Risk Management	The risk management strategy needs to be updated annually and approved by Overview & Scrutiny annually	Responsibility for this to be allocated to a named AD.	MB		Allocated to MB as new AD: Finance and HR	Complete	20/09/2021
2a	31/10/2020	Annual Governance Statement	TIAA - Internal Audit of Risk Management	Up to date AGS (Annual Governance Statement) not published on website	AGS to be published annually by publishing deadline	PS		19-20 Statement published on website	Complete	31/08/2021
2b	31/10/2020	Annual Governance Statement	TIAA - Internal Audit of Risk Management	AGS not published by deadline of first working day of September following year end	AGS for 20/21 to be prepared, approved by AGC and published by 1 September 2021	PS	01/09/2021	to AGC on Thursday 10th February for publication with the	Complete	10/02/2022
3	31/10/2020	Performance Management Report	TIAA - Internal Audit of Risk Management	From a review of minutes from meetings of the Executive since 1st April 2019, it was confirmed that a Corporate Performance Report, as outlined in the new Corporate Performance Management Framework, has been presented each quarter, with the Report for Quarter Two of 2020/21 being presented at the meeting on 21st July 2020. A summary of the Strategic Risks Register, however, which the Framework states should be appended to the Council Plan Dashboard, has not been included to date.	In line with the provisions of the new Corporate Performance Management Framework, a Strategic Risk Register be reviewed quarterly by CLT at the Performance Clinics. A summary Strategic Risk Dashboard be added to the Council Plan Dashboard and reported quarterly to the Executive. Action Agreed: The Strategic Risk Register will be included in future Performance Management report starting from Q3 in January 2021	PS	01/01/2021	Now being included in the performance management report and reviews of Strategic Risk Register being performed monthly at ELT.	Complete	01/01/2022
4	31/10/2020	Risk Management Group	TIAA - Internal Audit of Risk Management	Minutes of the Risk Management Group were reviewed for all meetings since 1st April 2019. The Risk Management Strategy states that the Group is to meet quarterly. There was a meeting in July 2019 and one in October 2019. The Strategy notes that the Group "is an important driver of the Council's approach to Risk Management". It further states that one of the tasks of the Group is to ensure commitment from Senior Management. Apologies were received from the Director of Corporate Services during the October meeting. There have been no meetings of the Group since October 2019.	Recommendation: Meetings of the Risk Management Group be held quarterly, in accordance with the frequency stated in the Risk Management Strategy. Full attendance be achieved as far as possible. However the new Risk Strategy mentions instead ELT meeting to review the Risk Strategy (monthly) and other areas of risk (not time dependant)	MB	pending	Replaced by a risk report being presented to ELT quarterly. the next full report due 23 February 2022.	Complete	23/02/2022

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5	31/10/2020	Risk Management Group	TIAA - Internal Audit of Risk Management	The Risk Management Strategy lists the roles and responsibilities of CLT as being to review on a monthly basis the Risk Management Group, which will be updated quarterly. From a review of notes from 20 CLT meetings from 11th April 2019 to 7th October 2020, there were no matters noted relating to the Risk Management Group.	Recommendation: In accordance with the roles and responsibilities of the CLT, as indicated in the Risk Management Strategy, the Risk Management Group be reviewed on a monthly basis by CLT. However the new Risk Strategy mentions instead ELT meeting to review the Risk Strategy (monthly) and other areas of risk (not time dependant)	MB		Replaced with ELT reviewing risk register monthly and full risk report quarterly. Monthly review has started with the next full report due 23 February 2022.	Complete	23/02/2022
8	15/07/2021	Risk Management section in Committee Reports	Risk Management Strategy Update	Ensure that risk is considered by all staff across all activities	Every formal report to Members must include a Risk Management Implications section, completed by the report author. For major decisions, this will often be an extensive section. o the stated implications are reviewed at draft report stage as part of the governance checks process. The Director of Corporate Services and the Assistant Director Governance have to sign off all reports	LT		Risk management implications included in template. All reports to Council or Cabinet must be signed off by s151 and MO.	Complete	31/12/2021
6	31/10/2020	Review of Strategic Risk Register	TIAA - Internal Audit of Risk Management	Risk Register reviewed regularly	In accordance with the provisions of the Risk Management Strategy, the Risk Register be reviewed quarterly by the Executive and annually by the Overview and Scrutiny Committee. However per the new Risk Strategy, the review is mentioned as quarterly by Overview and Scrutiny and no mention of Exec	MB		ELT reviewing the risk register monthly. The corporate performance report includes the risk register and is presented quarterly to cabinet and to O&S.	Complete	26/04/2022
9	15/07/2021	Strategic Risk Map	Risk Management Strategy Update	Member awareness of Risk	to report on the strategic risk map, as part of the performance monitoring report, to Overview and Scrutiny Committee on a quarterly basis. (Is this the Strategic Risk Register?)	MB		ELT reviewing the risk register monthly. The corporate performance report includes the risk register and is presented quarterly to cabinet.	Complete	31/01/2022

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11	15/07/2021	Risk Management Strategy	Risk Management Strategy Update	The risk management strategy needs to be updated annually and approved by Overview & Scrutiny annually	The Director of Resources will recommend a Risk Management Strategy setting out the Council's approach to Risk Management to the Scrutiny Co-ordinating Board ( <i>Scrutiny Co-ordinating board - does this exist? Should we change this to Overview and Scrutiny - do we need approval?</i> )	MB		Strategy should be approved by A&G and will be added to workplan	Complete	26/04/2022
12	15/07/2021	Risk Review by management	Risk Management Strategy Update	Organisation is not aware of/does not respond to new risks, changes to risks or changes to controls	ELT to review Strategic Risk Register monthly			Now being done.	Complete	31/12/2021
13	15/07/2021	Risk Review by management	Risk Management Strategy Update		ELT to review regularly insurance guidance, claims and accidents data, training requirements, staff awareness	MB		To be included in next meeting at 23/2/22	Complete	23/02/2022
14	15/07/2021	Staff Awareness	Risk Management Strategy Update	Staff are not aware of corporate risks	After approval, Strategic Risk Register to be published on corporate bulletin board. <i>How often? Quarterly?</i>	MB		Requested 9/2/22	Complete	09/02/2022
16	06/04/2022	Capacity and Resource Planning	Strategic Risk Register	Not having sufficient internal capacity to deliver core business and projects considering pressures from LGR	TIAA to perform internal audit in this area.	IF	30/06/2022	Included in internal audit plan	Complete	

Risk Management Action Plan - Open Items

Reference	Date Added	Title	Identified by:	Description of risk	Action to be taken	Owner	Deadline	Progress	Status	Completed Date
7	31/10/2020	Training	TIAA - Internal Audit of Risk Management	The Risk Management Strategy lists one of the tasks of the Risk Management Group as being the consideration of any training requirements. From a review of minutes from Group meetings in July and October 2019, there was no consideration of training requirements. The Financial Services Officer confirmed that no recent training has been delivered relating to risk management	Training requirements be considered by the Risk Management Group on a regular basis. From an identification of key Officers' current needs, appropriate risk management training be delivered as soon as is practicable. However per the new Risk Strategy, this is the responsibility of ELT now	MB	28/04/2022	New corporate training plan in development and anticipated to be launched in June 2022	In Progress	
10	15/07/2021	Quarterly Performance Clinics	Risk Management Strategy Update	To manage operational risk	Operational risks are managed and monitored by the relevant AD and through quarterly Performance Clinics. As part of the quarterly performance monitoring process, the operational risks will be reported to CLT as part of the Performance clinics	all ADs		Operation risks to be considered by Departmental Management Teams. Outstanding: what overview of this is required?	In Progress	
12	04/04/2022	Emergency Planning & Response Gro	Strategic Risk Register	A major incident or service failure which effect the services provided by the Council to our Council Tax payers, including but not limited to IT failure; 3rd party service provider goes into administration; fire in a Council building.	Emergency Planning and Response Group re-instated to own the Emergency Response Plan and Business Continuity Plans.	MB	31/05/2022	TOR drafted and first meeting planned for May 2022. Now re-scheduled to June 2022 due to staff availability.	In Progress	
13	06/04/2022	Safeguarding Training	Strategic Risk Register	Having a significant safeguarding issue in the District where the Council could have had a role in prevention.	Corporate Training Plan to be created which will include access to safeguarding training and information on who must undertake the training.	LG	28/04/2022	Training Plan drafted. Identified potential access point to training from CCC but slow to progress due to licence issues.	In Progress	
14	06/04/2022	EDC Business Continuity Plan	Strategic Risk Register	Failure of IT business critical systems or unauthorised access is gained to our Information and Technology (I&T) infrastructure.	Updating of EDC overarching Business Continuity Plan to include IT interruption	MB	30/06/2022	Re-drafted and due for discussion at next Disaster Planning and Business Continuity Group	In Progress	
15	06/04/2022	Service Business Continuity Plans	Strategic Risk Register	Failure of IT business critical systems or unauthorised access is gained to our Information and Technology (I&T) infrastructure.	Creation of toolkit for services to create their own Business Continuity Plans. Training and guidance to be provided. Monitoring of completion.	MB	30/06/2022	Drafted and out for initial comment. Testing next followed by launch	In Progress	
17	06/04/2022	Appraisal Process	Strategic Risk Register	Staff not having adequate training or awareness of their own (and Council's) responsibilities, Constitution, Policies and Procedures causing risk to delivering a safe and legal service.	Appraisal process for 22/23 to include consideration of responsibilities	LG	28/04/2022	Approved by CLT due for launch late May, early June	In Progress	