

Report Title:	Action Plan on Risk Management from SWAP Internal Audit
Contains Confidential or Exempt Information	No - Part I
Cabinet Member:	Councillor Hilton, Cabinet Member for Asset Management & Commercialisation, Finance and Ascot
Meeting and Date:	Audit and Governance Committee – 22 September 2022
Responsible Officer(s):	Adele Taylor, Executive Director of Resources and Section 151 Officer Andrew Vallance, Head of Finance and Deputy Section 151 Officer
Wards affected:	None

## REPORT SUMMARY

1. This report sets out how improvements to the council's risk management procedures identified in the recent audit will be undertaken.
2. It includes:
  - The SWAP "Risk Management Final Report" July 2022.
  - The action plan resulting from the above which describes the actions, responsible party and timescales for each finding.

## 1. DETAILS OF RECOMMENDATION(S)

**RECOMMENDATION:** That the Audit and Governance committee notes the report.

## 2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

### Options

**Table 1: Options arising from this report**

Option	Comments
To note this report. <b>This is the recommended option.</b>	The council is required to publish an annual governance statement in which a fundamental requirement is to demonstrate how it manages risk. The audit identifies how our approach can be improved and the action plan explains how we will do it.
Not note this report. This is not recommended.	Without a suitable risk management structure it is far more likely the Council will have insufficient awareness of risks and be exposed to the impact of unnecessary levels of risk.

- 2.1 Making sound use of risk management processes supports good strategy setting, operational performance and effective service delivery to residents.
- 2.2 The approach presently used is based on the Council’s “Approach to Management of Risk 1 April 2022 – 31 March 2023”, presented to the Committee on 19 May 2022. As part of their audit, SWAP have identified areas of improvement and the application of the methodology as currently described in that document.
- 2.3 SWAP’s audit report is attached as **Appendix B**.
- 2.4 Officers have prepared an Action Plan in response to the audit recommendations. This is attached as **Appendix C**.

### 3. KEY IMPLICATIONS

**Table 2: Key Implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
Refresh strategic risks with senior management.	No attempt at a refresh is made.	Strategic risk framework is reviewed with all metrics, mitigation etc.	n/a	n/a	01/12/2022
Benchmark register content against other local authorities.	<=2 authorities surveyed.	>2 authorities surveyed.	>6 authorities surveyed.	>10 authorities surveyed.	01/12/2022
Consider how best to achieve broader ownership and a suitable audit trail for risk reviews.	No review thus no change to existing process.	Ensure full audit trail of risk reviews as per reviewed timescales.	n/a	n/a	01/12/2022
Update risk management strategy and have a dedicated review session with the Audit &	No material changes to approach to risk management documentation.	Update risk management strategy to account for all the points made by SWAP. Schedule	n/a	n/a	30/04/2023 but subject to 2023 local elections.

Outcome	Unmet	Met	Exceeded	Significantly Exceeded	Date of delivery
Governance Committee.		review session.			
Develop a programme of risk management training for staff, Audit and Governance members and new starters.	No training takes place.	Separate but overlapping training programmes for staff, inductees and A&G.	n/a	n/a	30/04/2023
Ensure lead members get suitable information regarding their risk portfolio.	No review of processes takes place.	Audit trail of member reviews/ notifications.	n/a	n/a	01/12/2022
Adapt Cabinet reports to improve the level of risk information therein.	Template is unchanged.	Greater opportunities for officers to include more detailed risk information e.g. judgement explanations,	n/a	n/a	30/10/2022

#### 4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 There are no explicit financial consequences arising from this report. However, risk owners need to contemplate resource implications when devising their mitigation strategies

#### 5. LEGAL IMPLICATIONS

- 5.1 The Council must comply with Regulation 6 (2) of the Accounts and Audit Regulations 2015 by publishing an Annual Governance Statement which demonstrates how it manages risk.

#### 6. RISK MANAGEMENT

**Table 3: Impact of risk and mitigation**

Risk	Level of uncontrolled risk	Controls	Level of controlled risk
The council fails to make good use of	HIGH	Apply action plan resulting from quarter 1	LOW

risk management processes.		audit of risk management by SWAP.	
Risk register ref: IRM0003			

## 7. POTENTIAL IMPACTS

- 7.1 Equalities. An Equality Impact Assessment is available as Appendix A
- 7.2 None directly although some risks may, from time to time, include associated obligations.
- 7.3 Data Protection/GDPR. None directly although some risks may, from time to time, involve related obligations.

## 8. CONSULTATION

- 8.1 Consultations were driven by the SWAP team and the detail is contained in Appendix B.

## 9. TIMETABLE FOR IMPLEMENTATION

- 9.1 See action plan in Appendix C

## 10. APPENDICES

- 10.1 This report is supported by three appendices:
- Appendix A – Equality Impact Assessment
  - Appendix B – SWAP audit report on risk management, July 2022
  - Appendix C – Risk management improvement action plan

## 11. BACKGROUND DOCUMENTS

- 11.1 This report is not supported by any background documents:

## 12. CONSULTATION

Name of consultee	Post held	Date sent	Date returned
<i>Mandatory: Statutory Officers (or deputies)</i>			
Adele Taylor	Executive Director of Resources/S151 Officer	9/9/22	11/9/22
Emma Duncan	Director of Law, Strategy & Public Health/ Monitoring Officer	9/9/22	12/9/22
<i>Deputies:</i>			
Andrew Vallance	Head of Finance (Deputy S151 Officer)	8/9/22	8/9/22

Elaine Browne	Head of Law (Deputy Monitoring Officer)	9/9/22	
Karen Shepherd	Head of Governance (Deputy Monitoring Officer)	9/9/22	

Confirmation relevant Cabinet Member(s) consulted	Cabinet Member for Finance and Ascot	Yes
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## REPORT HISTORY

Decision type:	Urgency item?	To follow item?
For information	No	No

Report Author: Steve Mappley, Insurance and Risk Manager 01628 796202
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# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

### Essential information

Items to be assessed: (please mark 'x')

Strategy		Plan		Project		Service procedure	x
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Responsible officer	Andrew Vallance	Service area	Finance	Directorate	Resources
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<b>Stage 1: EqIA Screening (mandatory)</b>	Date created: 12/09/2022	<b>Stage 2 : Full assessment (if applicable)</b>	Date created : NA
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Approved by Head of Service / Overseeing group/body / Project Sponsor:

*"I am satisfied that an equality impact has been undertaken adequately."*

Signed by (print): Andrew Vallance

Dated: 12/09/2022

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

### EqIA : Action Plan on Risk Management

#### **Guidance notes**

##### **What is an EqIA and why do we need to do it?**

The Equality Act 2010 places a 'General Duty' on all public bodies to have 'due regard' to:

- Eliminating discrimination, harassment and victimisation and any other conduct prohibited under the Act.
- Advancing equality of opportunity between those with 'protected characteristics' and those without them.
- Fostering good relations between those with 'protected characteristics' and those without them.

EqIAs are a systematic way of taking equal opportunities into consideration when making a decision, and should be conducted when there is a new or reviewed strategy, policy, plan, project, service or procedure in order to determine whether there will likely be a detrimental and/or disproportionate impact on particular groups, including those within the workforce and customer/public groups. All completed EqIA Screenings are required to be publicly available on the council's website once they have been signed off by the relevant Head of Service or Strategic/Policy/Operational Group or Project Sponsor.

##### **What are the "protected characteristics" under the law?**

The following are protected characteristics under the Equality Act 2010: age; disability (including physical, learning and mental health conditions); gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

##### **What's the process for conducting an EqIA?**

The process for conducting an EqIA is set out at the end of this document. In brief, a Screening Assessment should be conducted for every new or reviewed strategy, policy, plan, project, service or procedure and the outcome of the Screening Assessment will indicate whether a Full Assessment should be undertaken.

##### **Openness and transparency**

RBWM has a 'Specific Duty' to publish information about people affected by our policies and practices. Your completed assessment should be sent to the Strategy & Performance Team for publication to the RBWM website once it has been signed off by the relevant manager, and/or Strategic, Policy, or Operational Group. If your proposals are being made to Cabinet or any other Committee, please append a copy of your completed Screening or Full Assessment to your report.

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

### EqIA : Action Plan on Risk Management

#### **Enforcement**

Judicial review of an authority can be taken by any person, including the Equality and Human Rights Commission (EHRC) or a group of people, with an interest, in respect of alleged failure to comply with the general equality duty. Only the EHRC can enforce the specific duties. A failure to comply with the specific duties may however be used as evidence of a failure to comply with the general duty.

#### **Stage 1 : Screening (Mandatory)**

##### **1.1 What is the overall aim of your proposed strategy/policy/project etc and what are its key objectives?**

1. This report sets out how improvements to the council's risk management procedures identified in the recent audit will be undertaken.
2. It includes:
  - The SWAP "Risk Management Final Report" July 2022.
  - The action plan resulting from the above which describes the actions, responsible party and timescales for each finding.

#### **DETAILS OF RECOMMENDATION(S)**

**RECOMMENDATION: That Audit and Governance Committee notes the report**



# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

**1.2 What evidence is available to suggest that your proposal could have an impact on people (including staff and customers) with protected characteristics? Consider each of the protected characteristics in turn and identify whether your proposal is Relevant or Not Relevant to that characteristic. If Relevant, please assess the level of impact as either High / Medium / Low and whether the impact is Positive (i.e. contributes to promoting equality or improving relations within an equality group) or Negative (i.e. could disadvantage them). Please document your evidence for each assessment you make, including a justification of why you may have identified the proposal as “Not Relevant”.**

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

### EqIA : Action Plan on Risk Management

Protected characteristics	Relevance	Level	Positive/negative	Evidence
<b>Age</b>	Not Relevant			Further EQIAs will be produced at later stages on detailed budget proposals and the overall budget
<b>Disability</b>	Not Relevant			
<b>Gender re-assignment</b>	Not Relevant			
<b>Marriage/civil partnership</b>	Not Relevant			
<b>Pregnancy and maternity</b>	Not Relevant			
<b>Race</b>	Not Relevant			
<b>Religion and belief</b>	Not Relevant			
<b>Sex</b>	Not Relevant			
<b>Sexual orientation</b>	Not Relevant			

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

### Outcome, action and public reporting

Screening Assessment Outcome	Yes / No / Not at this stage	Further Action Required / Action to be taken	Responsible Officer and / or Lead Strategic Group	Timescale for Resolution of negative impact / Delivery of positive impact
Was a significant level of negative impact identified?	No	Not at this stage		
Does the strategy, policy, plan etc require amendment to have a positive impact?	No	Not at this stage		

If you answered **yes** to either / both of the questions above a Full Assessment is advisable and so please proceed to Stage 2. If you answered “No” or “Not at this Stage” to either / both of the questions above please consider any next steps that may be taken (e.g. monitor future impacts as part of implementation, re-screen the project at its next delivery milestone etc).

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

### Stage 2 : Full assessment

#### 2.1 : Scope and define

**2.1.1** Who are the main beneficiaries of the proposed strategy / policy / plan / project / service / procedure? List the groups who the work is targeting/aimed at.

**2.1.2** Who has been involved in the creation of the proposed strategy / policy / plan / project / service / procedure? List those groups who the work is targeting/aimed at.

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

**2.1.2** Who has been involved in the creation of the proposed strategy / policy / plan / project / service / procedure? *List those groups who the work is targeting/aimed at.*

### 2.2 : Information gathering/evidence

**2.2.1** What secondary data have you used in this assessment? *Common sources of secondary data include: censuses, organisational records.*

**2.2.2** What primary data have you used to inform this assessment? *Common sources of primary data include: consultation through interviews, focus groups, questionnaires.*

**ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD**

**EQUALITY IMPACT ASSESSMENT**

**EqIA : Action Plan on Risk Management**



**Eliminate discrimination, harassment, victimisation**

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					

**Advance equality of opportunity**

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

### EqIA : Action Plan on Risk Management

Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					



# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management

### Foster good relations

Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					

**2.4 Has your delivery plan been updated to incorporate the activities identified in this assessment to mitigate any identified negative impacts? If so please summarise any updates.**

# ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

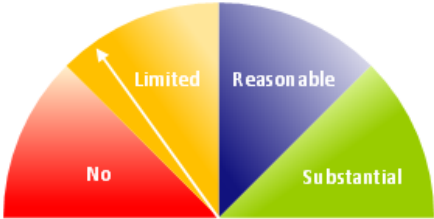
## EQUALITY IMPACT ASSESSMENT

EqIA : Action Plan on Risk Management




*These could be service, equality, project or other delivery plans. If you did not have sufficient data to complete a thorough impact assessment, then an action should be incorporated to collect this information in the future.*

## Audit Objective

To verify the extent to which the Council has a planned and systematic approach to the identification, evaluation, and management of risks.

Assurance Opinion		Number of Actions		Risks Reviewed	Assessment
	<p>Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage the risks to the achievement of objectives.</p>	Priority	Number	<p>The Risk Management framework is insufficient or not complied with, meaning that risk impacts are not identified and mitigated and compromises the Council's ability to achieve its objectives.</p>	<p><b>Medium</b></p>
		Priority 1	3		
		Priority 2	7		
		Priority 3	4		
		Total	14		

## Key Findings

	The current key strategic risks have not been subject to a full refresh exercise for several years. There has been no horizon scanning or full analysis to identify other potential risk issues. There is also limited alignment between these risks and the current corporate objectives.
	There is limited evidence of regular reviews of risks at both strategic and operational levels and reduced assurance that all managers are fully engaged with their responsibilities in the risk management process.
	The Risk Management Strategy requires more clarity in certain areas and should be promoted to all staff for awareness. It also requires formal approval and should be supported by a programme of risk management training for staff and elected members.

## Audit Scope

We reviewed the effectiveness of the key controls around:

- Risk management strategy and framework, including clarity of roles and responsibilities
- Strategic and operational risk identification, assessment, recording, and monitoring
- Integration of risk management into service planning and democratic decision making
- Staff and elected member training
- Reporting to and involvement of senior management and members

## Other Relevant Information

The Head of Finance requested that SWAP conduct a risk management review as part of the 2022/23 Internal Audit Plan.

Some of our planned testing could not be carried out due to a lack of available evidence. Where relevant, this has been made clear under the findings in the action plan.

We have identified a number of areas for improvement in the risk management framework and have recommended that a review of the corporate approach is held. An important element of the review should be to clarify expectations for greater accountability at management levels for risk ownership, and evidence of more timely risk reviews. A network of Risk 'champions' could be an effective means of ensuring that the profile of risk management is raised, along with the quality of risk management processes across services.

We also considered the options for implementing opportunity management as an added value element of the scope. Suggestions have been provided separately to the Head of Finance for further consideration.

## Appendix 1

## Findings & Action Plan

### Finding 1: Corporate Objectives and Risks

We reviewed the current risks that have been classified as ‘key strategic’. The Insurance & Risk Manager explained that it has been several years since this set of risks has been subject to a complete refresh exercise. We also understand there have been discussions about the risks not being wholly reflective of the strategic aims of the Council.

The newly adopted Corporate Plan provides an opportunity for this alignment to be completed. In particular this should include the risk related to climate change impacts, which has been in draft for several months. In addition, some existing risks on JCAD have not been linked to the new Corporate Plan objectives.

We were advised that there have been previous efforts to benchmark strategic risks against those with other local authorities, but no recent horizon scanning exercise has taken place.

### Action

The Insurance & Risk Manager should ensure that a strategic risk refresh session is completed with all senior management.

This should incorporate a horizon scanning exercise and a PESTLE analysis to identify all Political, Economic, Social, Technological, Legal and Environmental risks facing the Council. All identified risks should be linked to the council’s strategic objectives.

Consideration should be given to further opportunities to benchmark against other local authority’s risks and sharing the outcomes with a wider group of risk owners/champions.

<b>Priority</b>	<b>1</b>	<b>SWAP Reference</b>	
<b>Responsible Officer</b>	Insurance & Risk Manager		
<b>Timescale</b>	1 October 2022		

### Finding 2: Strategic Risks

Meetings in which strategic risks are reviewed by service directors are not minuted. Therefore there is a lack of evidence of discussions to confirm timely review and update of those risks. We reviewed JCAD records and found there was insufficient evidence to confirm four key strategic risks (CMT0039, CMT0040, FOI0003, FOI0006) have been reviewed quarterly as specified by the Risk Management Strategy.

The corporate review process for strategic risks is driven by the Insurance and Risk Manager, who takes responsibility for providing reports of risks to directors and will then update the risk register with any changes that are agreed. This constitutes an over-reliance on one individual and could be a single point of failure in the risk management process.

It is noted that the Performance & Risk Management Board have now taken responsibility for overseeing corporate risk.

### Action

The Insurance & Risk Manager should instigate a review of the approach to risk management to consider how best to achieve broader ownership and accountability for the review of strategic risks. This should include ensuring that reviews are timely and there is clearer recording of risk reviews.

<b>Priority</b>	<b>1</b>	<b>SWAP Reference</b>	
<b>Responsible Officer</b>	Insurance & Risk Manager		
<b>Timescale</b>	1 November 2022		

Finding 3: Operational Risks	Action												
<p>The corporate review process for operational risks is driven by the Insurance and Risk Manager.</p> <p>The review process takes place annually, with the Insurance and Risk Manager contacting services to prompt them to reconsider the scope and classification of their recorded risks. This means that the operational risk register cannot be considered to be a live document if there is no evidence that risks are reviewed on a more frequent basis.</p> <p>We analysed JCAD and found that 33% of operational risks are currently marked as overdue for review.</p> <p>Reliance is placed on service managers to provide accurate and timely information for any new, emerging risks. If a risk is identified through an external review, it would only be added to the risk register by the relevant service if deemed appropriate for inclusion. Without a programme of risk management training, there is reduced assurance that this will be completed, and there is no process to monitor whether it is adhered to.</p> <p>We were advised that there are currently no risk champions who are responsible for raising the profile and quality of risk management across services and ensuring that the register is up to date with current risk issues.</p>	<p>The Insurance &amp; Risk Manager should ensure that as part of the review of the approach to risk management, consideration is given to how services can take greater responsibility for their own risks in terms of regular reviews and updates. This should include ensuring that there is clearer recording of risk reviews.</p> <p>This could be addressed by allocating responsibility to a group of cross-service risk champions, with the Insurance &amp; Risk Manager taking more of a monitoring role.</p> <table border="1" data-bbox="1131 694 2110 837"> <tr> <td><b>Priority</b></td> <td style="background-color: red; color: white; text-align: center;">1</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">1 November 2022</td> </tr> </table>	<b>Priority</b>	1	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	1 November 2022		
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<b>Responsible Officer</b>	Insurance & Risk Manager												
<b>Timescale</b>	1 November 2022												
<p><b>Finding 4: The Risk Management Strategy</b></p> <p>The Risk Management Strategy:</p> <ol style="list-style-type: none"> <li>1. Lacks a clear definition for what constitutes a strategic or an operational risk.</li> <li>2. Does not state how often risk owners must conduct risk reviews.</li> <li>3. Does not refer to risk transfer or termination as possible risk responses.</li> <li>4. Includes limited guidance on risk identification techniques.</li> <li>5. Does not set out any risk management approach for project or partnership risks.</li> <li>6. Does not include guidance on how risk thresholds should be used by services to step-up/down their risks for corporate consideration.</li> </ol> <p>The Risk Management Strategy is reviewed annually but is not promoted to all staff. This gives a lack of assurance that all relevant staff fully understand the requirements.</p>	<p>The Insurance &amp; Risk Manager should ensure the Risk Management Strategy is updated to address the reported weaknesses.</p> <p>The Risk Management Strategy should be communicated to all staff via the Borough Bulletin.</p> <table border="1" data-bbox="1131 1189 2110 1327"> <tr> <td><b>Priority</b></td> <td style="background-color: orange; color: white; text-align: center;">2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">30 April 2023</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	30 April 2023		
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<b>Timescale</b>	30 April 2023												

<p><b>Finding 5: Risk Management Training - Officers</b></p> <p>There is no programme of risk management training made available to staff, beyond their corporate induction.</p> <p>For new employees joining the Council during 2021/22, we found that 52% of staff have not received any corporate induction training on risk management. New employees that did not receive induction include eight service managers, the Head of Planning, and the Head of Finance. This is a result of moving from a face-to-face induction to an MS Teams-based session, which HR &amp; OD believe is now rectified.</p>	<p><b>Action</b></p> <p>The Insurance &amp; Risk Manager should develop a programme of risk management training to be made available to all staff. The training should be mandatory for those with service management responsibility. This should apply to and be rolled out to all current staff.</p> <p>Completion of corporate induction training for all new starters should be subject to regular monitoring to ensure that mandatory attendance is complied with.</p> <table border="1" data-bbox="1120 430 2105 574"> <tr> <td><b>Priority</b></td> <td>2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 December 2022</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	31 December 2022		
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<b>Responsible Officer</b>	Insurance & Risk Manager												
<b>Timescale</b>	31 December 2022												
<p><b>Finding 6: Risk Management Training - Members</b></p> <p>Records to evidence that all members of the Audit &amp; Governance Committee have completed risk management training could not be provided.</p> <p>Some members have been trained as part of their role whilst serving under other committees, but this is not consistent across all members of the current Audit &amp; Governance Committee.</p> <p>It is acknowledged that there may be budget restrictions and that elections will take place in 2023.</p>	<p><b>Action</b></p> <p>The Head of Finance should ensure that risk management training is delivered to all Audit &amp; Governance Committee members to bring them all up to date.</p> <p>Note: wider training is being arranged for all elected members as part of SWAP's Internal Audit service.</p> <table border="1" data-bbox="1120 837 2105 989"> <tr> <td><b>Priority</b></td> <td>2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Head of Finance</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">30 April 2023</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Head of Finance			<b>Timescale</b>	30 April 2023		
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<b>Responsible Officer</b>	Head of Finance												
<b>Timescale</b>	30 April 2023												
<p><b>Finding 7: Risk Monitoring by Members</b></p> <p>For the monitoring of risks by elected Members there is a twofold approach, including:</p> <ul style="list-style-type: none"> <li>i) Six monthly update reports to the Audit &amp; Governance Committee for all strategic risks; and</li> <li>ii) The owners of risks within services are expected to update the lead Cabinet member for their service on their relevant risks, during pre-Cabinet briefing sessions.</li> </ul> <p>For (i) there is limited evidence within meeting minutes that Audit &amp; Governance members are applying challenge regarding the timeliness and appropriateness of risk mitigation actions for non-finance risks. This may be connected to the training needs of the committee.</p> <p>For (ii) there is no evidence that this takes place and there is no corporate oversight to ensure it is adhered to.</p>	<p><b>Action</b></p> <p>An action has been raised under Finding 6 to address risk management training for members of the Audit &amp; Governance Committee.</p> <p>The Head of Finance should consider whether action is needed to provide greater assurance that lead Cabinet members are adequately informed about the risks faced by services.</p> <table border="1" data-bbox="1120 1348 2105 1492"> <tr> <td><b>Priority</b></td> <td>2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Head of Finance</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 October 2022</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Head of Finance			<b>Timescale</b>	31 October 2022		
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<b>Timescale</b>	31 October 2022												

Finding 8: Democratic Decision Making	Action												
<p>We reviewed Cabinet decision reports in terms of risk identification and explanation, and we found that:</p> <ul style="list-style-type: none"> <li>The report section on Reasons for Recommendations and Options Considered does not include a risk assessment of the “Options arising from this report”, which is the table where the recommended action plus other options for the decision are set out.</li> <li>The report section on Potential Impacts does not include any detail on the impacts of any of the risks assessed, but only the wider impacts of the decision being considered.</li> <li>Reports do not explain how the level of uncontrolled or controlled risk assessments are arrived at. There is no impact or likelihood scoring evident to explain how the high, medium, or low assessment has been determined.</li> </ul> <p>In terms of how mitigating actions are monitored to ensure the decision is implemented in the manner agreed and reported back to the original decision makers, the only place this monitoring may take place would be in the lead officer-member briefing sessions, but there is no evidence of those discussions (also reported under Finding 7).</p>	<p>The Monitoring Officer should consider the findings in relation to risk management in Cabinet decision reports and implement the necessary changes to the report template.</p> <table border="1" data-bbox="1120 558 2094 702"> <tr> <td><b>Priority</b></td> <td style="background-color: #FFD700;">2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Monitoring Officer</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">30 November 2022</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Monitoring Officer			<b>Timescale</b>	30 November 2022		
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<b>Timescale</b>	30 November 2022												
<p><b>Finding 9: Risk Management &amp; Service Planning</b></p> <p>A Performance and Risk Management Board has recently convened. There has been one meeting which agreed a Terms of Reference for the Board, but monthly meetings will now take place with the Leader and senior management in attendance. The Insurance &amp; Risk Manager has not yet been invited to participate which is a possible oversight.</p> <p>The Insurance &amp; Risk Manager has completed an assessment of the risk management process against the standards of The Orange Book and has devised an improvement plan with a set of actions. There is no group allocated to monitor the improvement plan and the Performance and Risk Management Board may be an appropriate body to do so.</p> <p>There is no performance management strategy or policy that defines the service planning approach. Therefore the link to the corporate risk management process is also undefined. Consideration of service risks has not formed part of any service planning methodology in recent years. There is no corporate process to ensure service risks are escalated if required - this is not covered by the Risk Management Strategy and Service Managers are not routinely asked to report their service risks (reported under Finding 4).</p> <p>The InPhase system is being developed for performance management and service planning purposes and also includes a risk management module. Given the absence of the golden thread between corporate objectives and risks, consideration should be given to how the two systems will be used going forward.</p>	<p><b>Action</b></p> <p>An action has been raised under Finding 4 for updates required to the Risk Management Strategy.</p> <p>The Head of Finance should ensure that:</p> <ul style="list-style-type: none"> <li>the Insurance &amp; Risk Manager is invited to participate in the Performance and Risk Management Board;</li> <li>the Performance &amp; Risk Management Board takes responsibility for oversight of the implementation of the Improvement Plan actions;</li> <li>InPhase should be reviewed alongside JCAD for risk recording and monitoring purposes, as part of the wider work to ensure there is a clear golden thread between corporate objectives, performance, and risk.</li> </ul> <table border="1" data-bbox="1120 1316 2094 1452"> <tr> <td><b>Priority</b></td> <td style="background-color: #FFD700;">2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Head of Finance</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 August 2022</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Head of Finance			<b>Timescale</b>	31 August 2022		
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<b>Timescale</b>	31 August 2022												

<p><b>Finding 10: Adding risks to the corporate risk register</b></p>	<p><b>Action</b></p>												
<p>During the audit we identified examples of risks that have been in draft form for several months. These include:</p> <ul style="list-style-type: none"> <li>Climate change: the Audit and Governance Committee agreed this would be added as a key strategic risk in October 2021. While some control measures have been added to JCAD, at the time of reporting the risk is still in draft.</li> <li>Land exchange: this was added to JCAD as a draft risk in December 2021, but a full assessment of the council's risk exposure has not been completed.</li> </ul> <p>We acknowledge that the Insurance &amp; Risk Manager is awaiting further information from services in order to update the risk records. However, both risks have been in draft for an extended amount of time. It is also not clear how the land exchange risk is currently being controlled.</p>	<p>An action has been raised under Finding 2 to consider how best to achieve broader ownership and accountability for risk reviews. In addition to this, the council should also consider how risk assessments can be completed in a timelier manner.</p> <table border="1" data-bbox="1120 454 2105 606"> <tr> <td><b>Priority</b></td> <td style="background-color: #FFD700;">2</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 March 2023</td> </tr> </table>	<b>Priority</b>	2	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	31 March 2023		
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<b>Responsible Officer</b>	Insurance & Risk Manager												
<b>Timescale</b>	31 March 2023												
<p><b>Finding 11: Risk Management Responsibilities</b></p>	<p><b>Action</b></p>												
<p>We reviewed the job descriptions for senior management and found that only the Head of Resources (S151) has risk responsibilities documented in their job description.</p> <p>The Chief Executive Officer and the other Directors do not, which is not consistent with the Risk Management Strategy.</p>	<p>HR Business Partners should ensure that senior management job descriptions are updated so that their risk management responsibilities are clearly detailed.</p> <table border="1" data-bbox="1120 869 2105 1021"> <tr> <td><b>Priority</b></td> <td style="background-color: #002060; color: white;">3</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">HR Business Partners</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 October 2022</td> </tr> </table>	<b>Priority</b>	3	<b>SWAP Reference</b>		<b>Responsible Officer</b>	HR Business Partners			<b>Timescale</b>	31 October 2022		
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<b>Timescale</b>	31 October 2022												
<p><b>Finding 12: Risk Appetite</b></p>	<p><b>Action</b></p>												
<p>We were advised risk appetite assessments are only mandatory for key risks. This is not stated in the Risk Management Strategy.</p> <p>The Strategy includes example criteria to assist officers in making risk appetite assessments. While risk appetite assessments are recorded on JCAD, the rationale is not.</p>	<p>The Insurance and Risk Manager should update the Risk Management Strategy to clarify whether risk appetite assessments are mandatory. When risk appetite is assessed, the rationale should be recorded on JCAD.</p> <table border="1" data-bbox="1120 1244 2105 1380"> <tr> <td><b>Priority</b></td> <td style="background-color: #002060; color: white;">3</td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">31 October 2022</td> </tr> </table>	<b>Priority</b>	3	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	31 October 2022		
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<p><b>Finding 13: Corporate project risk recording</b></p> <p>We reviewed the arrangements for project risk management, which are not specified in the Risk Management Strategy. When a project is managed by the Corporate Projects team, risks are recorded and monitored using a project Toolkit document, rather than JCAD. While the Toolkit prompts the project manager to escalate any corporate level risk to the Risk Manager, this means JCAD is not a complete risk record.</p> <p>There is no central record of projects that are not managed by the Corporate Projects team. We contacted Heads of Service to request they provide information about any projects ongoing in their services. We only received one response to this request, so could not complete any comprehensive testing of service-led projects.</p>	<p><b>Action</b></p> <p>The Insurance &amp; Risk Manager should consider whether project risks should also be recorded on JCAD. This would enable corporate oversight of project risks.</p> <p>The council would also benefit from establishing a central project register. This would provide greater oversight of service activity and could facilitate joint commissioning opportunities.</p> <table border="1" data-bbox="1131 399 2110 550"> <tr> <td><b>Priority</b></td> <td><b>3</b></td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Insurance &amp; Risk Manager</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">30 November 2022</td> </tr> </table>	<b>Priority</b>	<b>3</b>	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Insurance & Risk Manager			<b>Timescale</b>	30 November 2022		
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<p><b>Finding 14: Partnership Register</b></p> <p>The Risk Management Strategy does not include any guidance on partnership risks. We contacted Heads of Service and asked them to confirm if the council has a partnership register. We did not receive any response and therefore conclude a register is not in place.</p>	<p><b>Action</b></p> <p>The Monitoring Officer should create a partnership register for the council.</p> <table border="1" data-bbox="1131 710 2110 853"> <tr> <td><b>Priority</b></td> <td><b>3</b></td> <td><b>SWAP Reference</b></td> <td></td> </tr> <tr> <td><b>Responsible Officer</b></td> <td colspan="3">Monitoring Officer</td> </tr> <tr> <td><b>Timescale</b></td> <td colspan="3">30 November 2022</td> </tr> </table>	<b>Priority</b>	<b>3</b>	<b>SWAP Reference</b>		<b>Responsible Officer</b>	Monitoring Officer			<b>Timescale</b>	30 November 2022		
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## Appendix C – Risk management improvement action plan

ref	Heading	Action step	Priority	Party responsible	Start date	Date due	Comments/progress
Finding 1	Corporate Objectives and Risks	<p>1.1. Complete a strategic risk refresh session with all senior management.</p> <p>This should incorporate a horizon scanning exercise and a PESTLE analysis to identify all Political, Economic, Social, Technological, Legal and Environmental risks facing the Council. All identified risks should be linked to the council's strategic objectives.</p> <p>1.2 Consideration should be given to further opportunities to benchmark against other local authority's risks and sharing the outcomes with a wider group of risk owners/champions.</p>	1	Steve Mappley	29-Jul-22	01-Dec-22	<p>1.1 Scoping meeting with council's insurers 26/09/22 who offer support through the risk management consultancy days provided free with the insurance policy.</p> <p>1.2 Responses from Essex CC, Wokingham BC, Reading BC, LB Waltham Forest, LB Sutton representing a spread of local, similar size and large local authorities. No obvious major divergences from our own strategic risk registers at present. Nevertheless, it would be a useful exercise to take a close look at our own strategic risks to provide renewed assurance for our own organisation.</p>
Finding 2	Strategic risks	2.1 Review the approach to risk management to consider how best to achieve broader ownership and accountability for the review of strategic risks. This should include ensuring that reviews are timely and there is clearer recording of risk reviews.	1	Steve Mappley	01-Aug-22	01-Dec-22	<p>2.1 SM to write and circulate a summary of actions/discussions to accompany the revised risk register content whenever a review takes place. Risk owners to confirm that revisions/review are acceptable.</p> <p>Officer training to establish that the correct knowledge base is in place.</p>

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Finding 3	Operational risks	<p>3.1 As part of the review of the approach to risk management, consider how services can take greater responsibility for their own (operational) risks in terms of regular reviews and updates. This should include ensuring that there is clearer recording of risk reviews.</p> <p>This could be addressed by allocating responsibility to a group of cross-service risk champions, with the Insurance &amp; Risk Manager taking more of a monitoring role.</p>	1	Steve Mappley	08-Aug-22	01-Dec-22	<p>TOR and membership of performance and risk management board indicates that this business could be usefully incorporated from time to time.</p> <p>Appoint 4/5 risk champions from the existing pool of officer risk owners.</p> <p>Risk owners to confirm that revisions/review are acceptable.</p> <p>Officer training to establish that the correct knowledge base is in place.</p>
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## Appendix C – Risk management improvement action plan

Finding 4	RM Strategy	<p>4.1 the Risk Management Strategy is updated to address the reported weaknesses:</p> <ul style="list-style-type: none"> <li>- define what constitutes a strategic or an operational risk.</li> <li>- state how often risk owners must conduct risk reviews.</li> <li>- refer to risk transfer or termination as possible risk responses.</li> <li>- improve guidance on risk identification techniques.</li> <li>- set out risk management approach for project or partnership risks.</li> <li>- include guidance on how risk thresholds should be used by services to step-up/down their risks for corporate consideration.</li> </ul> <p>4. 2 The Audit &amp; Governance Committee should have a dedicated session reviewing the Risk Management Strategy, concluding in their formal approval of it. This could be considered as part of the training recommended under Finding 6.</p> <p>4. 3 Once formally adopted, the Risk Management Strategy should be communicated to all staff via the Borough Bulletin.</p>	2	Steve Mappley	01-Jan-23	28-Feb-23	<p>4.1 Transfer or terminate aren't generally considered feasible options for the statutory nature of the majority of the council's risks. Will add the terms to the strategy so that the options exist for consideration.</p> <p>SM to completely rewrite the strategy to include the points made by auditors before the end of this financial year.</p> <p>4.2 See Finding 6 and establish suitable date with chair and panel clerk.</p>
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## Appendix C – Risk management improvement action plan

Finding 5	Risk Management Training - Officers	<p>5.1 Develop a programme of risk management training to be made available to all staff. The training should be mandatory for those with service management responsibility. This should apply to and be rolled out to all current staff.</p> <p>5.2 Completion of corporate induction training for all new starters should be subject to regular monitoring to ensure that mandatory attendance is complied with.</p>	2	<p>5.1 Steve Mappley</p> <p>5.2 Karl Joseph</p>	01-Aug-22	31-Dec-22	<p>5.1 Scoping meeting with council's insurers 26/09/22 who offer support through the risk management consultancy days provided free with the insurance policy.</p> <p>5.2 SM to create content referring to ALARM docs aimed at general staff risk awareness. HR Organisational Development Business Partner remit to check it's being done.</p>
Finding 6	Risk Management Training - Members	6.1 Deliver risk management training all Audit & Governance Committee members.	2	Andrew Vallance	01-Aug-22	30-Apr-23	6.1 Scoping meeting with council's insurers 26/09/22 who offer support through the risk management consultancy days provided free with the insurance policy.
Finding 7	Risk Monitoring by Members	7.1 Consider whether action is needed to provide greater assurance that lead Cabinet members are adequately informed about the risks faced by services.	2	Andrew Vallance	01-Aug-22	30-Nov-22	<p>7.1 Currently this is done by verbal assurance from officers. A formalised approach is likely to be something that the performance and risk management board can drive.</p> <p>Confirmation from risk owner officers that this exercise is undertaken at LMB's.</p> <p>SM to circulate relevant extracts from the risk register to lead</p>

**Appendix C – Risk management improvement action plan**

							member c.c. officer risk owner every six months.
Finding 8	Democratic Decision Making	<p>8.1 The Monitoring Officer should consider the findings in relation to risk management in Cabinet decision reports and implement the necessary changes to the report template:</p> <ul style="list-style-type: none"> <li>- the report section on "Reasons for Recommendations and Options Considered" does not include a risk assessment of the "Options arising from this report", which is the table where the recommended action plus other options for the decision are set out.</li> <li>- the report section on "Potential Impacts" does not include any detail on the impacts of any of the risks assessed, but only the wider impacts of the decision being considered.</li> <li>- reports do not explain how the level of uncontrolled or controlled risk assessments are arrived at. There is no impact or likelihood scoring evident to explain how the high, medium, or low assessment has been determined.</li> </ul>	2	Emma Duncan	08-Aug-22	30-Oct-22	8.1 SM to develop wording with Karen Shepherd.

## Appendix C – Risk management improvement action plan

Finding 9	Risk Management & Service Planning	<p>9.1 The Insurance &amp; Risk Manager is invited to participate in the Performance and Risk Management Board;</p> <p>9.2 the Performance &amp; Risk Management Board <b>or</b> a Risk Champions Group takes responsibility for monitoring the implementation of the Improvement Plan actions (the IRM has completed an assessment of the risk management process against the standards of The Orange Book and has devised an improvement plan with a set of actions).</p> <p>9.3 InPhase should be reviewed alongside JCAD for risk recording and monitoring purposes, as part of the wider work to ensure there is a clear golden thread between corporate objectives, performance, and risk.</p>	<b>2</b>	Andrew Vallance	28-Jul-22	30-Sep-22	<p>9.1 and 9.2 TOR and membership of performance and risk management board indicates that this business could be usefully incorporated from time to time. Next steps, discuss with Emma Duncan how to best include this aspect.</p> <p>9.3 SM to get a demo of the risk management module of InPhase.</p>
Finding 10	Adding risks to the corporate risk register	<p>10.1 Consider how best to achieve broader ownership and accountability for risk reviews.</p> <p>10.2 Consider how risk assessments can be completed in a timelier manner. This is driven by audit identifying two risks that have been in draft form for several months:</p> <ul style="list-style-type: none"> <li>- climate change</li> <li>- land exchange</li> </ul>	<b>2</b>	Steve Mappley	01-Aug-22	31-Mar-23	<p>10.1 See Finding 2 above.</p> <p>10.2 Officers are being chased for an update on how the exposure ought to be captured on the risk register.</p>
Finding 11	Risk Management Responsibilities	11.1 HR Business Partners should ensure that senior management job descriptions are updated so that their risk management responsibilities are clearly detailed.	<b>3</b>	Nikki Craig/Michelle Dear	08-Aug-22	31-Oct-22	Complete.
Finding 12	Risk Appetite	12.2 The Insurance and Risk Manager should update the Risk Management Strategy to clarify whether risk appetite assessments are	<b>3</b>	Steve Mappley	08-Aug-22	31-Oct-22	12.2 see 4 above and consider whether appetite assessments for non-key risks will this add a useful

## Appendix C – Risk management improvement action plan

		mandatory. When risk appetite is assessed, the rationale should be recorded on JCAD.					level of granularity relative to the effort involved.
Finding 13	Corporate project risk recording	<p>13.1 Consider whether project risks should also be recorded on JCAD. This would enable corporate oversight of project risks.</p> <p>13.2 The council would also benefit from establishing a central project register. This would provide greater oversight of service activity and could facilitate joint commissioning opportunities.</p>	3	Steve Mappley	29-Jul-22	30-Nov-22	<p>13.1 Project management team advise there isn't any immediate likelihood of linking software – their "toolkit" is an Excel document used through Teams.</p> <p>They say, "<i>In the Risk Register tab is a "Is this a corporate risk?" checkbox. If the answer is ever "Yes" then it would be the responsibility of the team or the sponsor to review that with the IRM.</i>"</p> <p>13.2 See project management team's toolkit.</p>
Finding 14	Partnership Register	The Monitoring Officer should create a partnership register for the council.	3	Emma Duncan	01-Sep-22	30-Nov-22	14.1 Underway