

## APPENDIX A – Recommendations and Action Plan

ZURICH RECOMMENDATION	CMT DECISION	Action/Owner/Timescale
Allocate resource to risk ownership who will own and champion the process.	Chief Internal Auditor to co-ordinate and Corporate Management Team to manage.	This information to be included in the risk management policy CIA July <b>COMPLETED</b>
Develop a clearer understanding of the councils' risk appetites (which may differ). Comparison of the two would affect risk identification and treatment.	The risk appetite will be different from issue to issue. It was therefore agreed not to have one overall risk appetite.	No Action required
Hold facilitated workshops for CMT and Members to refresh understanding of roles and responsibilities.	Agreed. Once the new risk management policy is written and adopted, training will be arranged.	Zurich to be contacted to arrange training once the policy is agreed CIA September
Update the current strategies into one document aligned across both authorities, with any necessary supporting framework and processes.	Agreed. To be reviewed, updated and aligned.	Policy to be updated and taken to committee CIA July <b>COMPLETED</b>
Consider whether current systems could be integrated further, or if processes could be more automated.  <i>(In the body of the report this is phrased as "consider the reporting opportunities of the Pentana system".  The Corporate Performance Specialist also explained that Pentana's reporting capacity has the capacity to be used by the wider stakeholder groups (for example external consultants) who work closely with the councils to deliver the projects / priorities / etc.)</i>	All risk assessments to be put back onto Pentana Performance.	Liaise with Business Planning and Performance to reinstate risk registers – to be arranged once training has been given. CIA December

<b>ZURICH RECOMMENDATION</b>	<b>CMT DECISION</b>	<b>Action/Owner/Timescale</b>
Ensure key service risks are being captured, documented and escalated.	Operational and service level risks to be recorded on one risk assessment for each service area. Service level risk registers to be reviewed six monthly at CMT with Directors/Asst Directors responsible for the service level risk registers.	To be put in place once policy is adopted and training has been given CIA to co-ordinate and CMT to manage December
Implement a forum for risk discussion at service level.	Service level risk registers to be discussed at Departmental Management Team meetings.	To be put in place once policy is adopted and training has been given Directors/Asst Directors/Heads of Service December
Interactive training workshops across all levels.	Agreed. Once the new risk management policy is written and adopted, training will be arranged.	Zurich to be contacted to arrange training CIA September
Risk management refresher training for Members (especially newer ones).	Agreed. Once the new risk management policy is written and adopted, training will be arranged.	Zurich to be contacted to arrange training CIA September
Contract risk management training and awareness, with a view to identifying strategically important contracts and associated risks.	Agreed. Once the new risk management policy is written and adopted, training will be arranged.	Zurich to be contacted to arrange training CIA September
Robust and consistent governance framework including entrance and exit strategies.	Agreed – To be mentioned in the risk management policy.	To be included in the risk management policy CIA July <b>COMPLETED</b>

In discussion with the CFO the following is also recommended.		
Audit to view service level risk registers for every audit review undertaken.	Agreed – as part of every audit the auditors will request a copy of the service areas risk register.	<p>The Internal Audit team have been informed to pick this up again once service areas have been told that they need to produce risk registers.</p> <p><b>This has already commenced.</b></p>
CMT to allocate a reasonable sized slot on one agenda to fully consider risk and governance.	Agreed	<p>Slot on CMT to be organised once the policy has been adopted</p> <p>CIA</p> <p>September</p>
CIA to carry out a follow up of progress against agreed actions.	Agreed –To be reviewed monthly	To be carried out on a monthly basis and reported to CMT quarterly.