

**Risk Management Self-Assessment 2022.23 - Appendix 2 (Progress again**

Audit Plan	Audit Report	Recommendation
2021/22	Risk Management (MIIA)	<p>Action plans should be produced for all open risks to mitigate risks, which are recorded on the risk register. Each gap in control identified should have a respective action plan. All actions should be assigned a lead/owner to ensure they are appropriately assigned for monitoring. Assurances on the action plans in place should be reported to the relevant groups/committees on a regular basis and any update or movement in risks are clearly documented and tracked.</p>
2021/22	Risk Management (MIIA)	<p>Discussion around risks and their associated ratings should be justified and documented to ensure that a consistent risk scoring methodology has been applied and that a secondary review is in place to ensure that risks have been appropriately assessed.</p>
2021/22	Risk Management (MIIA)	<p>More regular training should be introduced and encouraged for all members. • A training needs analysis should be developed to identify gaps in training and feedback should be sought, to evidence it improved understanding and ability to provide oversight in the process.</p>

2021/22	Risk Management (MIIA)	The Integrated Assurance Strategy should be reviewed to ensure it reflects current working practices and formally ratified by an appropriate group. Roles and responsibilities and the Portfolio Holder should be formally defined.
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**ist outstanding actions)**

Issue/risk identified	Priority
Risks may not be appropriately assigned resulting in outstanding actions or lack of monitoring and review.	High
Risk scoring may not be appropriately applied or aligned to risk tolerance of the Council	Medium
Staff have not received training required	Medium

<p>Strategy is not reflective of current Council practice. Responsibility for risk management has not been clearly defined or understood.</p>	<p>Medium</p>
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Agreed Action	Responsible Officer	Agreed Action due
<p>Both service and corporate risk register to be subject to regular (at least quarterly) quality checks by Risk, Assurance &amp; Audit team, including compliance with Integrated Assurance Strategy and best practice. Regular feedback to be provided to Senior Management Team and Audit Committee</p>	<p>Strategic Advisor Tier 1 – Assurance, Risk &amp; Audit</p>	<p>30 July 2022 (Process) / 30 September 2022 (Reporting)</p>
<p>Quarterly review identified above to include gap analysis and review of any amendments/additions to ensure consistent approach to assessment (including ensuring amendments are documented as part of the process). Snapshots of risk register to be taken quarterly to provide evidence of updates</p>	<p>Strategic Advisor Tier 1 – Assurance, Risk &amp; Audit</p>	<p>31/07/22</p>
<p>Training needs assessment to be performed as part of initial quarterly review. Risk workshop already arranged for one risk area, with further to follow, alongside updates and discussions with SMT on a regular basis.</p>	<p>Strategic Advisor Tier 1 – Assurance, Risk &amp; Audit</p>	<p>31/07/22</p>

Strategy to be reviewed and issued for approval by Senior Management Team.	Strategic Advisor Tier 1 – Assurance, Risk & Audit	31/07/22
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## Progress update

All risks subject to regular scrutiny by ARA through various channels:

Existing strategic risk register presented to SMT on a regular basis, with input from ARA.

Operational risk registers refreshed following workshops and now subject to regular audit testing.

All risks now include owner and mitigating actions.

Regular informal updates to SMT and Audit Committee and formal self-assessment presented March 2023.

Further enhancements and improvements under consideration as part of LGR exercise.

Current risk scoring subject to review as part of operational risk register workshops. New scoring mechanism to be agreed for Cumberland followed by ongoing review and challenge from Assurance, Risk & Audit.

Specific risk workshops held for Waste Services, Regeneration Projects and Procurement Fraud. All risk register owners provided support as part of operational risk register review via series of one to one workshops.

While it is recognised the current strategy is due to be updated, this has been superseded by LGR. A draft risk management framework has been prepared by risk management representatives from each legacy Council, with a draft strategy to be presented to Cumberland Council.