

APPENDIX 2

Recommendations Overdue 30 April 2015

ACTION PLAN NO:	WEAKNESSES/GOOD PRACTICE: GRADE:	AGREED ACTION:	DATES :	COMMENT/EXPLANATION:	PYRAMID: RESPONSIBLE OFFICER:
DEPARTMENT	CHIEF EXECUTIVE'S UNIT				
SERVICE	STRATEGIC FINANCE				
<u>REPORT NAME</u>	<u>REVIEW OF RISK MANAGEMENT ARRANGEMENTS</u>				
1	<p>The most recent Strategic Risk Register identifies 15 risks with gross risk scores ranging between 9 – 20, and residual risks classing 14 of the risks as 'amber' and one, relating to population and economic decline as a 'red' risk. Each of the risks is currently managed in the same way, with mitigation actions and planned actions reported to the Strategic Risk Group and Committees in the SRR. However, where risks remain 'red,' or above the risk appetite level we would recommend escalation of the risk to give management and the Audit Committee additional assurance that risks are being managed effectively.</p> <p>MEDIUM</p>	<p>Strategic Risk Group will review protocols considering proposed actions. A number of mitigations are already subject to delivery /realisation monitoring arrangements</p>	<p>28 February 2015 30 June 2015</p>	<p>Escalation protocols will be implemented upon completion of Appetite development activity. Strategic Risk Group has agreed an Appetite framework. A working group will be convened which will prepare Risk Appetite levels for each individual risk.</p>	<p>Delayed but rescheduled Head of Strategic Finance</p>

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DEPARTMENT CHIEF EXECUTIVE'S UNIT
SERVICE STRATEGIC FINANCE
REPORT NAME REVIEW OF RISK MANAGEMENT ARRANGEMENTS

2	<p>The Council's current approach to defining the risk appetite for each strategic risk to use the residual risk scores from when the SRR was reviewed as a proxy.</p> <p>A more formal approach to defining risk appetite would mean that the Council could :use the gap between the current residual risk score and risk appetite to prioritise actions clarify areas where risks cannot fully be managed by the Council, eg population decline demonstrate the journey of improvement across individual risk categories acknowledge a willingness to take on risk in individual cases, where there is potential benefit to the Council to do so.</p> <p>MEDIUM</p>	<p>Strategic Risk Group will lead developments on Risk Appetite and associated monitoring / mapping frameworks</p>	<p>28 February 2015 30 June 2015</p>	<p>Strategic Risk Group has agreed an Appetite framework. A working group will be convened which will prepare Risk Appetite levels for each individual risk.</p>	<p>Delayed but rescheduled Head of Strategic Finance</p>
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DEPARTMENT CUSTOMER SERVICES
SERVICE GOVERNANCE & LAW
REPORT NAME REVIEW OF INSURANCE ARRANGEMENTS

2	<p>It was noted there was a low response to the Invite to Tender due to the approach adopted .i.e. dealing directly with brokers.</p> <p>MEDIUM</p>	<p>Council’s traditional requirements for single supplier of all insurances was the industry norm at time of tender. Procurement and legal to review sourcing strategy at time of insurance renewal.</p>	<p>31 December 2014 28 February 2015 31 May 2015</p>	<p>The process is taking longer than expected due to competing work priorities, staff pressures and absences and is unlikely now to be completed before 31 May.</p>	<p>Delayed but rescheduled Legal Services Manager- Commercial/ Procurement Commission Manager</p>
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DEPARTMENT

DEVELOPMENT & INFRASTRUCTURE SERVICES

SERVICE REPORT NAME	PLANNING & REGULATORY SERVICES <u>REVIEW OF UNIFORM SYSTEM 2013/2014</u>
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| 1 | There are no formal procedures in place regarding systems administrators receiving notification when user’s roles and duties change, new users require access and users leave their post so require access removed.
MEDIUM | A procedure for informing system administrators of all staff changes should be implemented. | 31 March 2015
30 June 2015 | Not progressed due to change in technical support. | Delayed but rescheduled
Senior Technical Officer |
| 2 | The security protocols within the Uniform system are not currently used.
MEDIUM | A timetable for switching on the Security protocol BS7799 should be discussed with management and this should be enabled. | 31 March 2015
30 June 2015 | Not progressed due to change in technical support. | Delayed but rescheduled
Senior Technical Officer |

SERVICE REPORT NAME	ROADS & AMENITY SERVICES <u>REVIEW OF CREMATORIUM 2014/15</u>
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| 10 | Families/relatives are not advised that scattering/interment is not individual as it is likely that the ashes of more than one deceased is scattered/interred at any one time.
LOW | Letter being drafted to notify the applicant, this will be incorporated with the literature, making families aware of the book of remembrance. | 31 March 2015
30 April 2015 | | No Response
Crematorium Superintendent |
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 PLAN NO: GRADE: RESPONSIBLE OFFICER:

DEPARTMENT
DEVELOPMENT & INFRASTRUCTURE SERVICES

REPORT NAME REVIEW OF WINTER MAINTENANCE

2	Documentation outlining operational procedures in respect of fleet, salt stocks management structures and standby rotas do not reflect the current operational set up. HIGH	Guidance notes to be updated to reflect operational set up, management responsibilities and methods, prior to start of main season	31 March 2015 31 October 2015	BPR exercise is being carried out for winter, any change to Policy to be reported to EDI Committee in August 2015.	Delayed but rescheduled Roads Performance Manager, Development & Infrastructure
3	The winter maintenance budget has remained relatively constant over the last 5 years at on average J1.2m per annum. However the average actual spend per annum for the same period is J2.4m. HIGH	A demand pressure of J0.5m has been included as part of 15/16 Budget exercise. Service provision will be further reviewed as part of the Service Choices programme.	31 March 2015 31 October 2015	BPR exercise is being carried out for winter, any change to Policy to be reported to EDI Committee in August 2015.	Delayed but rescheduled Head of Roads & Amenity Services
4	The Service plan does not specifically refer to Winter maintenance activity and a review of scorecard information showed no evidence of performance indicators or measures being in place. MEDIUM	Performance measures to be considered and incorporated into service plans and pyramid	31 March 2015 31 October 2015	Reporting mechanisms within new Winter Management System allow specific reporting on treatment performance and salt usage. PI implemented as part of revised service.	Delayed but rescheduled Roads Performance Manager, Development & Infrastructure
6	The Council has a list of contractors it may call upon to help it meet its statutory obligations. The list has not been updated in the last 3 years MEDIUM	Contractor list to be updated after liaising with procurement team	31 March 2015 31 October 2015	Approved list of contractors available at any time from Procurement. Selection of suitable local candidates for winter service assistance to be incorporated in operational plans as part of Winter BPR process 30th April – 1st October 2015.	Delayed but rescheduled Roads Performance Manager, Development & Infrastructure