

Report

Report to:	Risk and Audit Scrutiny Forum
Date of Meeting:	13 November 2012
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Progress of Risk Management Work Plan
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ provide an update on progress being made with delivery of actions within the Risk Management Work Plan 2012/2013

2. Recommendation(s)

2.1. The Risk and Audit Scrutiny Forum is asked to approve the following recommendation(s):-

- (1) that the progress made in delivering the actions within the Risk Management Work Plan 2012/13 is noted

3. Background

- 3.1. For the past three years, the Council has developed an annual Risk Management Work Plan. Actions in the work plan generally arise from two main sources; suggestions from the cross Resource Risk Sponsors Group and gaps identified from assessment of risk management compliance with best practice standards.
- 3.2. Five actions were carried forward from the 2011/2012 Work Plan as other factors, such as the election of the new Council, delayed their completion.
- 3.3. Areas where improvement was required to be made by Resources to ensure compliance with the Council's Risk Management Strategy have also been included in the Work Plan.
- 3.4. The Risk Management Work Plan for 2012/2013 was approved by the Risk and Audit Scrutiny Forum in September 2012.
- 3.5. Progress in delivering the actions in the work plan is reported as a performance measure and actions are tracked using the Council's risk monitoring system, Figtree.

4. Progress with Risk Management Work Plan 2012/2013

- 4.1. The 2012/2013 Risk Management Work Plan is attached at Appendix One, and provides summary information on the 24 actions.
- 4.2. Progress has been assessed using a similar scoring mechanism as IMPROVe.
- 4.3. The position as at 30 September 2012 is that 86 per cent (6/7) of actions have been completed by their due date.

- 4.4. One action, prepare and issue Members' newsletter, is nearing conclusion. It is anticipated that this will be issued during November 2012.
- 4.5. Two actions with completion dates later in the year have been completed ahead of schedule. A further three actions have encountered minor slippage but are nearing completion and six are on course to achieve. Work on the remaining actions, all with target completion dates of 31 March 2013, will be reported later.
- 4.6. The Forum is asked to note the progress being made in the delivery of the actions within the 2012/13 Risk Management Work Plan.
- 4.7. A further update on the progress as at 31 March 2013 will be reported to the Forum.
- 5. Employee Implications**
 - 5.1. Time will be required by the Resource Risk Management Group in the management of the Resource Risk Register and control plan.
- 6. Financial Implications**
 - 6.1. There are no financial implications associated with the delivery of the Work Plan.
- 7. Other Implications**
 - 7.1. Failure to implement risk management requirements in Resources and partnerships will impact on the Council's ability to comply with best practice guidance. The work of the Resource Risk Sponsors and Risk Groups mitigates against this risk.
 - 7.2. There are no implications for sustainability in terms of the information contained in this report.
- 8. Equality Impact Assessment and Consultation Arrangements**
 - 8.1. This report does not introduce a new policy, function or strategy or recommend a change to existing policy, function or strategy and, therefore, no impact assessment is required.
 - 8.2. Risk Sponsors were consulted on all items contained within this report.

Paul Manning
Executive Director (Finance and Corporate Resources)

17 October 2012

Link(s) to Council Objectives, Improvement Themes and Values

- Governance and accountability

Previous References

- Report to Risk and Audit Scrutiny Forum – Risk Management Year End Report 2011/12 – 4 September 2012

List of Background Papers

- None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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Risk Management Work Plan 2012-13

No	Action	Who	Target date	Score	Comments
1	Present an updated top risk register to the CMT. Deliver an awareness session on the risk management cycle, methodology and recommended decision process.	Improvement and Risk Manager	4 August 2012	1	Session delivered to CMT 4 August 2012
2	Determine method and timescale for review of SLC's risk management arrangements against best practice.	Head of Audit and Improvement	30 September 2012	1	Implementing action plan arising from CIPFA Good Practice Self Assessment (81%). Investigating feasibility of ALARM/CIPFA Risk Management Benchmarking Club 2013.
3	Prepare and issue Members' newsletter.	Finance Officer (Risk Management)	30 September 2012	3	Minor slippage due to other work priorities – to be issued during November 2012
4	Complete review of education excursions policy.	Education Resources Operations Manager	30 September 2012	1	Review of policy finalised - to be reviewed by independent consultant
5	Ensure use of Figtree for recording risks and tracking actions. Ensure all relevant employees trained in the use of Figtree.	Risk Sponsors	30 September 2012	1	All Resources have received training or refresher training in the use of Figtree
6	Create disease module within Figtree to record payments made by SLC. This will assist in forthcoming actuarial reviews and claims projections.	Finance Officer (Risk Management)	30 September 2012	1	New module in place. Now being populated with claims information

7	Resources to agree hotspot areas identified by Gallagher Bassett and required mitigating actions.	Risk Sponsors/ Finance Adviser (Risk Management)	30 September 2012	1	Report to CMT 25 October 2012
8	Prepare guidance note for Resources on Opportunity Risk Management.	Finance Adviser (Risk Management)	31 October 2012	3	Slippage has occurred due to other work priorities. New target date December 2012.
9	Prepare insurance marketing presentation if going out for full tender.	Finance Adviser (Risk Management)	31 October 2012	1	Complete – however not going out to tender until 2014/15 renewal
10	Prepare and contribute to updated consolidated project management checklist for use in change and improvement projects to ensure management of risk is adequately covered.	Head of Audit and Improvement	31 October 2012	3	In progress and on course to be completed by end of November 2012
11	Identify and evaluate the risks associated with the proposals in Connect 2012-17.	Risk Sponsors	31 October 2012	3	Sponsors to update current position following Heads of Service Session 14 November 2012
12	Update Figtree to reflect Connect 2012-2017 Objectives.	Finance Officer (Risk Management)	31 October 2012	1	Objectives have been updated on Figtree
13	Update EL claims protocol, including procedure for distributing 'lessons learned' information. Resources to advise mitigating actions taken to prevent any future reoccurrences.	Finance Adviser (Risk Management)	31 December 2012	2	Protocol to be finalised and to be passed to Risk Sponsors for approval
14	Raise employee awareness of risk management: 1) Employee bulletin on updated strategy 2) Further initiatives throughout year	Finance Adviser (Risk Management) Risk Sponsors	31 March 2013	2	Article on risk management in Works Magazine – December 2012
15	Undertake full review of the Council's top risk register.	Improvement and Risk Manager	31 March 2013	2	Workshop scheduled

		Risk Sponsors			November 2012. Report to CMT to follow
16	Review content of risk registers, risk control plans to ensure consistency, and that risks are described correctly across Resources.	Risk Sponsors	31 March 2013	2	Meetings scheduled with Resources
17	Ensure: 1) that risk evaluation is undertaken prior to making decisions on any major projects, partnerships or changes 2) that a risk register is maintained during the course of any major projects and partnerships 3) that evidence of risk evaluation/assessment can be provided	Risk Sponsors	31 March 2013	5	
18	Implement actions from Partnership Risk Management Review.	Risk Sponsors	31 March 2013	5	
19	Implement the recommendations from the Gallagher Bassett review on common risks.	Risk Sponsors	31 March 2013	5	
20	Monitor the implementation of the actions contained within the CMT paper on high risk/value contracts.	Procurement Manager	31 March 2013	2	Discussion with Procurement Manager – work commenced
21	Resources to consider options to publish, in local press, new stories reflecting effective risk management. This will promote public awareness and confidence of action taken to manage risks.	Risk Sponsors	31 March 2013	2	Winter Awareness Week
22	Assess viability for use of IMPROVe for recording the Council's risks and tracking of risk control actions. Briefing paper to be prepared for Head of Audit and Improvement Services.	Head of Audit and Improvement Finance Adviser (Risk Management)	31 March 2013	5	

Score	No	%
1	8	36
2	6	28
3	4	18
4	0	0
5	4	18
Total	22	100

Key

1 = Complete/Achieved

2 = On course to achieve target date

3 = Minor slippage

4 = Major slippage

5 = To be reported later