



Council Response Form

Council action planned in response to the proposals for improvement issued by the Wales Audit Office (WAO)

Council: Carmarthenshire County Council

Report title: Review of Risk Management Arrangements

Issue date: 3.7.19

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Exhibit: Proposed Council action

Ref	Proposal for improvement / recommendation	Council action planned in response to the proposals for improvement issued by the WAO	Target date for completion of actions	Responsible officer
P1	Procedures and Guidance The Council should develop suitable procedures and guidance to underpin its risk management strategy to ensure that risk management is consistently embedded across the organisation.	Procedures and guidance will be revised.	September 2020	Head of Revenues & Financial Compliance
P2	Risk Appetite	The Audit Committee, Senior Management and the Risk Steering Group have already identified	September 2020	Head of Revenues & Financial Compliance

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	The Council should define its corporate risk appetite to ensure that it manages risks and opportunities effectively.	this as an area requiring further work. Workshops to be arranged to capture the Council's risk appetite.		
P3	Performance Management The Council should further align its risk management arrangements with its performance management arrangements.	Work continues in further aligning the processes of identifying risks and linking to performance management, through further integration and sharing of information between risk and performance.	April 2020	Head of ICT & Policy / Head of Revenues & Financial Compliance
P4	Roles and Responsibilities The Council should review and clarify the roles and responsibilities of: <ul style="list-style-type: none"> managers staff risk champions; and the Risk Management Steering Group in its risk management arrangements. 	The roles and responsibilities will be revisited and clarified.	September 2020	Risk Management Steering Group
P5	Risk Management System The Council should: <ul style="list-style-type: none"> clarify the system it is using to identify and capture risks to ensure a consistency in approach across the organisation; 	With the system currently being upgraded the intention is to hold training sessions with relevant staff. The proposed training will not only cover system changes but will include sessions on understanding and documenting risks.	September 2020	Head of Revenues & Financial Compliance

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	<ul style="list-style-type: none"> review the information recorded on risk registers throughout the organisation to ensure information; is up to date, complete and has enough detail to ensure risks can be appropriately managed. 			
P6	<p>Effectiveness of Risk Management Arrangements</p> <p>The Council should improve the effectiveness of its risk management arrangements by:</p> <ul style="list-style-type: none"> training staff; regularly seeking assurance on the effectiveness of all aspects of its arrangements and acting on the findings; and embedding a process for identifying lessons learned and sharing good practice across the organisation. 	<p>Training noted above in P5</p> <p>As part of the decision process for awarding funding the risks presented in each bid are always considered by the group and the arrangements proposed that require funding are considered to understand if they mitigate the risk identified. This process and the follow up will be formalised by including a standing agenda item to follow up completed bids and to capture any good practice.</p>	December 2020	Risk Steering Group