

Action Title	Management Action	Required Action	Current Position	Responsible owner	RAG	Due Date	Status
Risk Management	RM (21/22) 1	Risk owners will review their assigned risks monthly and ensure updates are recorded within BMIS. The draft Corporate Risk Policy will be approved and made available to relevant staff. Further guidance on risk assessment, review, monitoring, and reporting will be established. The organisation's risk appetite will be formally documented in the Corporate Risk Policy and be subject to regular review for appropriateness.	Approved but not yet shared with all staff. Risk appetite was reviewed by CMT in June but not yet Members. This will be picked up as part of the RSM Risk Management Workshop that was due to take place on 14.12.22 but had to be postponed due to weather.	Head of Strategic Support and Assurance	Amber - Medium	31/03/2023	In Progress
Human Resources - Support Staff Recruitment	5.20/21	The Authority will ensure that there is a clear record of CMT discussion and approval of new posts and supporting evidence is then supplied to the Recruitment Team and retained.	Through review of the Authorisation to Amend Base Establishment Form we confirmed HR approval had been removed. However, through review of the March 2021 meeting minutes of CMT we noted there was no record of CMT discussion and approval of new posts. In the absence of CMT oversight and approval of new posts there is a risk that new posts may not be in line with post requirements and posts may be actioned without approval. The action has been partly though not yet fully implemented.	Head of HR	Amber - Medium	31/03/2023	In Progress
Human Resources - Wellbeing	6.20/21	The Service will document discussions and actions on the improvement of TRIM utilisation by staff.	We obtained a copy of the TRIM activity log. Through review of the document, we confirmed that incident numbers were recorded which relates to the tip sheet. The activity tip sheet has a total number of personnel contacted which at the time of this follow-up was 412. The activity log also records all activities that have been completed. From a discussion with the Business Services Manager, we ascertained that although there have been discussions to improve the staff utilisation of TRIM support, however this has not been formally documented within an action plan. The action has been partly though not yet fully implemented.	Head of HR	Amber - Medium	31/03/2023	In Progress
Human Resources - Wellbeing	6.20/21	The Service will review the benchmarking data in a formal meeting and identify areas of improvement.	Audit finding / statusWe were provided with three regional benchmarking reports exported from PowerBI, categorised under Protection, Prevention and Efficiency. Through a review of the reports, we were able to confirm that the Service was benchmarking itself against all services, not just the ones from Suffolk, Essex, Norfolk, Cambridgeshire, and Hertfordshire. From a discussion with the Business Support Manager, we ascertained that currently the data is not presented or distributed in a formal manner to a committee/group meeting. There is a risk that actions are not taken to improve areas where the Service falls behind, which in turn could result in a decrease in management input for improvement. The action has been partly though not yet fully implemented.	Head of HR	Amber - Medium	31/03/2023	In Progress
Key Financial Controls	(6.20/21)	The Chief Accountant will reiterate the importance of compliance with the quotation process documented within the Procurement Policy and Contract Procedure and retain evidence to support this.	We have not been provided with sufficient evidence that the Chief Accountant reiterated the importance of compliance with the quotation process within the Procurement Policy and Contract Procedure. If the Procurement Policy and Contract Procedure are not followed, there is a risk that the organisation may not be receiving best value for money. This action has not been implemented.	Chief Accountant	Green - Low	31/03/2023	In Progress

Service Governance	(8.20/21)	We will include a meeting frequency statement in the Term of Reference and ensure these are finalised and approved.	<p>We have been provided with the draft ToR for the Information Management Assurance Board. We were informed by the Business Support Manager that the ToR are currently being reviewed by the members, and it is expected to be approved during the next meeting in December 2022.</p> <p>Through a review of the document, we were able to confirm that it contains the following:</p> <ul style="list-style-type: none"> •statement and purpose, •responsibilities, •attendees, •version history, •distribution, and •review period of the ToR. <p>The document, however, did not contain meeting frequency. There is a risk that meetings are not held on a cyclical basis corresponding with the ToR.</p>	Head of Strategic Support and Assurance	Green - Low	31/03/2023	In Progress
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