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## QUARTERLY GOVERNANCE PROGRESS REPORT

To: **Governance and Audit Committee – 25 September 2012**

Main Portfolio Area: **Business Services**

By: **Business Support and Compliance Manager**

Classification: **Unrestricted**

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**Summary:** **To provide Governance and Audit Committee with a progress report on governance related issues.**

### **For Information and Decision**

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#### **1.0 Introduction and Background**

1.1 This report provides Governance and Audit Committee with an update on governance related issues. The items covered in this report are:

- 2.1 Corporate risk register (CRR)
- 2.2 Risk Management Strategy and Process annual review

#### **2.0 The Current Situation**

##### **2.1 Corporate risk register**

- 2.1.1 Following the discussion in connection with the Corporate Risk Register at the June Governance and Audit Committee, the CRR has been reviewed by the Senior Management Team.
- 2.1.2 Attached at **annex 1** is a copy of the CRR. Governance and Audit Committee need to be confident that the risk management process is being followed, such as ensuring reviews are being undertaken and target dates for implementing control measures are met.

##### **2.2 Risk Management Strategy and Process - annual review**

- 2.2.1 The current Risk Management Strategy (Version 8), was agreed by Governance and Audit Committee (29 September 2011) and Cabinet (17 November 2011). The Risk Management Process (Version 5) was agreed by Governance and Audit Committee also on the 29 September 2011. Both documents are available on the Internet, Intranet and Members Portal.
- 2.2.2 A review has taken place of both the Strategy and Process documents and there are only some minor changes recommended at this time, which are shown as track changes on the attached documents. (Risk Management Strategy – Version 9 at **Annex 2** and Risk Management Process – Version 6 at **Annex 3**).

#### **3.0 Options**

3.1 That Members note annex 1 and approve the changes to the Risk Management Strategy (annex 2) and Process (annex 3) documents and recommend that the Strategy be sent to the 8 November 2012 Cabinet for approval.

3.2 That Members make any further recommended changes to the Risk Management Strategy and Process documents.

#### **4.0 Corporate Implications**

##### **4.1 Financial**

4.1.1 There are no financial implications arising directly from this report.

##### **4.2 Legal**

4.2.1 There are no legal implications arising directly from this report.

##### **4.3 Corporate**

4.3.1 The Risk Management Strategy and Process documents will assist the council in providing the processes necessary to manage risk and therefore aid in achieving its objectives.

##### **4.4 Equity and Equalities**

4.4.1 There are no equity or equalities issues arising from this report.

##### **4.5 Risks**

4.5.1 Failure to undertake these processes will impact on the council's approach to Corporate Governance.

#### **5.0 Recommendation(s)**

**5.1 That Members approve the changes to the Risk Management Strategy and Process documents and recommend that the Strategy be sent to the 17 November 2011 Cabinet for approval.**

#### **6.0 Decision Making Process**

6.1 These recommendations do not involve the making of a key decision and may be taken by the Governance and Audit Committee.

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#### ***Annex List***

Annex 1	Corporate Risk Register
Annex 2	Risk Management Strategy (Version 9)
Annex 3	Risk Management Process (Version 6)

#### ***Corporate Consultation Undertaken***

Finance	Sarah Martin, Financial Services Manager
Legal	Gary Cordes, Legal Services Manager
Communications	Paul Lawes, Corporate Communication Officer