
QUARTERLY GOVERNANCE PROGRESS REPORT

To: **Governance and Audit Committee – 11 December 2013**

Main Portfolio Area: **Operational Services**

By: **Business Support and Compliance Manager**

Classification: **Unrestricted**

Ward: Not applicable

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

For Information and Decision

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
- 2.2 Annual Governance Statement 2012/13 action plan
- 2.3 Governance Framework and Local Code of Corporate Governance annual review
- 2.4 Risk Management Strategy and Process annual review

2.0 The Current Situation

2.1 Corporate Risk Register

2.1.1 Attached at **annex 1** is a copy of the Corporate Risk Register. 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 Annual Governance Statement 2012/13 action plan

2.2.1 For the period 2012/13 the council prepared an Annual Governance Statement (AGS) which was agreed by Governance and Audit Committee on the 25 September 2013.

2.2.2 Within the Annual Governance Statement 2012/13 areas of concern identified from the numerous assessments into our governance arrangements were detailed within Section 9 'Significant governance issues'.

2.2.3 The council proposed to take steps to address these matters and report on the action plan to this Committee on a regular basis. The action plan is attached at **annex 2** for Members information.

2.3 Governance Framework and Local Code of Corporate Governance annual review

- 2.3.1 The Governance Framework (version 8) has undergone a review and no amendments are recommended at this time. This document is attached at **annex 3**.
- 2.3.2 The Local Code of Corporate Governance (version 8) has also been reviewed and is attached at **annex 4**.
- 2.3.3 Following approval of the reviewed documents they will be published on the council's website.

2.4 Risk Management Strategy and Process annual review

- 2.4.1 The current Risk Management Strategy (Version 9), was agreed by Governance and Audit Committee (25 September 2012) and Cabinet (8 November 2012). The Risk Management Process (Version 6) was agreed by Governance and Audit Committee also on the 25 September 2012. Both documents are available on the Internet, Intranet and Members Portal.
- 2.4.2 A review has taken place of both the Strategy and Process documents and there are only some minor changes recommended at this time to the Risk Management Process, which are shown as track changes. (Risk Management Strategy – Version 10 at **Annex 5** and Risk Management Process – Version 7 at **Annex 6**).

3.0 Options

- 3.1 That Members note the content of annex 1, the Corporate Risk Register and identify any issues on which they require more clarification.
- 3.2 That Members note the content of annex 2, the Annual Governance Statement 2012/13 action plan and identify any issues on which they require more clarification.
- 3.3 That Members approve the reviewed Governance Framework (annex 3) and Local Code of Corporate Governance (annex 4).
- 3.4 That Members note and approve the changes to the Risk Management Process (annex 6) and recommend that the Strategy (annex 5) be sent to the 21 January 2014 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 and VAT

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

4.2 Legal

- 4.2.1 Local Authorities must be able to demonstrate compliance with the statutory principles of good governance. Local government has been undergoing significant change and the environment in which it works is increasing in complexity. Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with control and the management of risk.

4.3 Corporate

- 4.3.1 The processes and documents covered within this report all contribute to the council's governance arrangements that lead to good management, good performance and good financial controls and enable us to engage with the public and ultimately demonstrate good outcomes for our community.
- 4.3.2 Failure to undertake these processes or review the attached documents will impact on the council's approach to corporate governance, and our ability to demonstrate compliance with our own corporate processes.

4.4 Equity and Equalities

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

5.0 Recommendation(s)

- 5.1 That Members note the content of annex 1 and identify any issues on which they require more clarification.**
- 5.2 That Members note the content of annex 2, the Annual Governance Statement 2012/13 action plan and identify any issues on which they require more clarification.**
- 5.3 That Members approve the reviewed Governance Framework and Local Code of Corporate Governance (annexes 3 and 4).**
- 5.4 That Members approve the changes to the Risk Management Process document and recommend that the Strategy be sent to the 21 January 2014 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.

Future Meeting if applicable: Cabinet – Risk Management Strategy	Date: 21 January 2014
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Annex List

Annex 1	Corporate Risk Register
Annex 2	Annual Governance Statement 2012/13 action plan
Annex 3	Governance Framework (version 8)
Annex 4	Local Code of Corporate Governance (version 8)
Annex 5	Risk Management Strategy (version 10)
Annex 6	Risk Management Process (version 7)

Background Papers

Title	Details of where to access copy

Corporate Consultation Undertaken

Finance	Sarah Martin, Financial Services Manager
Monitoring Officer / Legal	Harvey Patterson, Corporate and Regulatory Services Manager
Communications	Justine Wingate, Corporate Information and Communications Manager