PROGRESS REPORT ON ISSUES IDENTIFIED IN THE ANNUAL GOVERNANCE STATEMENT AND RISK ASSURANCE

(Report by the Head of People, Performance & Partnerships and Head of Financial Services)

1.   INTRODUCTION

1.1   The Council's assurance framework requires that the Panel receive update reports on governance issues. This report deals with the issues identified in the annual governance statement, the Council improvement plan and risk assurance

2.   REVIEW OF GOVERNANCE ACTION PLAN

2.1   At the September 2009 meeting the Panel considered the Annual Governance Statement which identified issues to be addressed over the next year to help improve further the Councils governance arrangements. Annex A identifies these issues and progress to date. Annex B provides further assurance by way of progress to date on all the actions (internal and external) identified in the Council improvement plan, reported to Cabinet quarterly.

3.   RISK ASSURANCE

3.1   As at 1 March, the 138 risk register entries had 435 controls identified to mitigate the risk to the Council. 415 of the controls include the service manager's assurance of how effectively the control is working in practice.

3.2   Assurances are, in the majority of cases, added to the risk register by a manager when a risk and its associated controls are added to the register. Review is then usually provided at six monthly intervals. The accuracy of the manager's assessment is reviewed by internal audit when they audit the relevant risk/system.

Key Points

- 96% of all assurances are that the control is substantially or fully operating.

- 86% of assurances have been updated in the last 6 months.
- Only 6 risks have no assurance.

3.3   The tables in Annex C summarise this graphically. It is intended that they will in future be included in risk register update reports to provide a comprehensive dashboard of information.

4.   RECOMMENDATIONS

4.1   The Panel are recommended to note the:

(a) progress made to implement the actions plans arising from the annual governance statement and the Council improvement plan; and

(b) levels of assurance within the risk register

BACKGROUND PAPERS

Code of Governance
Annual Governance Statement September 2009
Council Improvement Plan
Risk register

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