

Title of meeting: Governance and Audit and Standards Committee

Date of meeting: 19th July 2023

Subject: Risk and Assurance Management Policy

Report by: Kelly Nash, Corporate Performance Manager

Wards affected: n/a

Key decision: No

Full Council decision: No

1. Purpose of report

1.1 The report presents the council's risk and assurance management policy to the Governance and Audit and Standards Committee for approval.

2. Recommendations

2.1 The Governance and Audit and Standards Committee is asked to:

- 1) Approve the attached Risk and Assurance Management Policy
- 2) Agree to review the risk management policy in July 2025, including risks current at the time and lessons learnt over the previous year.

3. Background

3.1 The Council is committed to embedding a culture of risk awareness within our everyday activities, such that formal processes and unnecessary documentation can be minimised, but that risk management remains an effective part of the governance framework.

3.2 The updated Risk and Assurance Management policy (appendix 1) sets out how this will be achieved. Significant features of the policy are:

- Roles and responsibilities are set out clearly
- Components of process, such as training and monitoring are clearly described.

3.3 Whilst it is accepted that risk cannot be entirely eradicated, the following are areas on which the council will not compromise its position by taking a greater level of risk than is absolutely necessary. It will also take all reasonable steps to eliminate or mitigate the risks where identified, including but not limited to:

- where there is risk of physical harm

- where non-compliance with legislation could lead to imprisonment or significant fines.

3.4 The policy has been in effect since 2013, and has been regularly reviewed to ensure that it is in line with the current structure. For this review, references to outdated practices and titles have been removed, but no significant changes have been made.

4. Corporate Risk Schedule

The Corporate Risk schedule is attached at Appendix 2. This document captures the main strategic risks that are pertinent to the organisation and highlights the key ways in which these are presenting themselves at present. This was last considered a year ago, and has been amended to bring it up to date. This is regularly considered by directors of the authority and the Cabinet. Members of the committee are asked to note the schedule and consider if there are any areas where they would wish to receive additional information.

5. Reasons for recommendations

5.1 The policy has been in effect since 2013, and has been regularly reviewed to ensure that it is in line with the current structure. For this review, references to outdated practices (such as staff completing risk forms) have been removed, and recommendations from a previous Internal Audit piece of work have been incorporated (including clarifying the learning and development expectation).

6. Integrated impact assessment

6.1 An integrated impact assessment is not required as the recommendations do not directly impact on service or policy delivery. Any changes made arising from this report would be subject to investigation in their own right.

7. Legal implications

7.1 Legal considerations have been taken into account in the preparation of this report and where appropriate embodied within it.

8. Director of Finance's comments

8.1 There are no financial implications arising from the recommendations in this report.

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Signed by: Paddy May, Corporate Performance Manager

Appendices:

Appendix 1 - Risk and Assurance Management policy

Appendix 2 - Corporate Risk Schedule

Background list of documents: Section 100D of the Local Government Act 1972

The following documents disclose facts or matters, which have been relied upon to a material extent by the author in preparing this report:

Title of document	Location

The recommendation(s) set out above were approved/ approved as amended/ deferred/ rejected by on

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Signed by: