

BROMSGROVE DISTRICT COUNCIL

AUDIT BOARD

15th DECEMBER 2008

RISK MANAGEMENT TRACKER

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|------------------------------|----------------------------|
| Responsible Portfolio Holder | Councillor Geoff Denaro |
| Responsible Head of Service | Head of Financial Services |

1. Summary

- 1.1 To present an overview of the current progress in relation to Actions/Improvements as detailed in service area risk registers for the period 1st April to 30th September 2008.

2. Recommendation

- 2.1 The Audit Board is recommended
- 2.2 The Audit Board is recommended to note progress to date against all business area risk register actions for Quarter 2 2008/09 (April – September)

3. Background

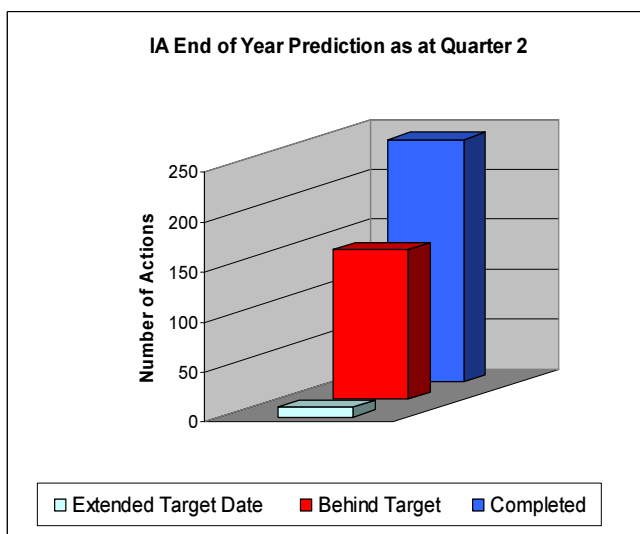
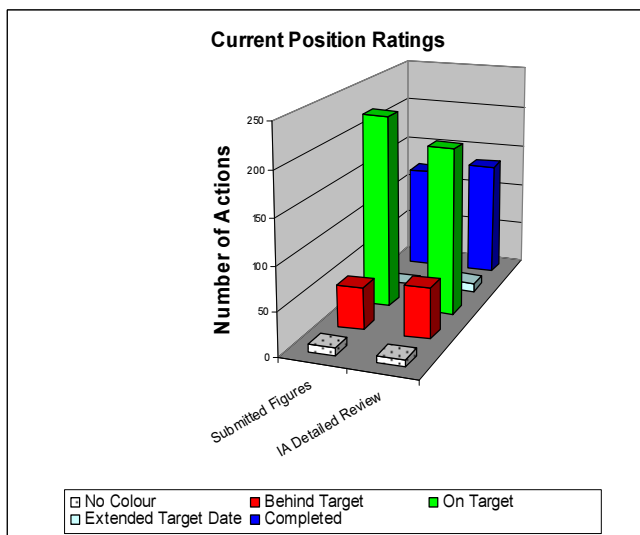
- 3.1 During December 2006 a review of the Council's risk management arrangements was undertaken by the Internal Audit section. Following the review a new approach, which included updated documentation, was adopted. The revised Risk Management Strategy was approved by the Executive Cabinet on the 7th March 2007.
- 3.2 As part of the new approach, each business area is required to collate a risk register that details:
- Key Objectives;
 - Risk Score;
 - Current controls;
 - Actions and improvements;
 - Responsible officers and target dates for each action and improvement; and
 - Progress against each action and improvement.
- 3.3 Business areas update their risk registers on a regular basis to ensure that actions and improvements are being monitored and implemented. The actions and improvements are designed to reduce risks, improve controls and aid individual sections to achieve their objectives.
- 3.4 The Risk Management Steering Group meets on a monthly basis to review departmental registers, highlight any concerns with the Head of Service and to review progress on actions and improvements. A detailed review of the actions and improvements for each register is discussed and Heads of

- 3.5 The departmental registers are reviewed at Corporate Management Team and Audit Board on a quarterly basis. The Corporate Risk Register 2008/09 is to be reported to this meeting.
- 3.6 In addition to the review of the registers there is a planned programme of risk management training that supports the development of the risk culture through the organisation.

4. **Actions/Improvements Summary**

- 4.1 Each service area has submitted to Internal Audit the quarter 2 position for each Action/Improvement detailed on their risk register.
- 4.2 A detailed review of each Action/Improvement, target date, quarter 2 position rating and commentary has been undertaken. The Internal Audit overall opinion has identified some differences in the current position ratings.

The above information is illustrated in the charts below.



- 4.3 From the above chart of Internal Audits end of year prediction a total of approximately 150 (out of 402) of Actions/Improvements will be behind target at the end of the financial year. This is not a major concern as number of these are in relation to the delayed implementation of Job Evaluation together with a further 25% where work is in progress but not complete to target.
- 4.4 The risk associated with the non delivery of the current actions is not deemed as high as the delayed actions are in relation to ongoing projects to ensure improvements are being achieved rather than fundamental problems with processes across the Council.

5. Completed Actions / Achievements

- 5.1 In order to highlight service area successes, Internal Audit have selected three Actions/Improvements that have been completed during quarter 2.

| Relevant Key Obj. | Action/Improvement |
|-------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| Corporate Communications, Policy and Performance | |
| Effective Project Management Framework | Programme management framework, including programme board is now live enabling interdependencies between projects to be managed effectively. |
| Culture and Community Services | |
| Effective Development of the Bromsgrove Community Sport Network (BECAN) | Sports Showcase Event based around the five outcomes of the Every Child Matters Agenda has been delivered. |
| Legal, Equalities and Democratic Services | |
| Effective democratic process and electoral service | Preparations for events to encourage young people to participate in the democratic process have been completed for Local Democracy Week. |

6. Overall Summary

- 6.1 Internal Audit's review has identified an additional 14 Actions/Improvements that we perceive as completed based on the commentary provided.
- 6.2 As previously raised in quarter 1, it is important that when the new financial year's risk register is compiled service areas ensure that all Actions/Improvements that are either behind target or have an extended target date at the end of the previous financial year are included in the risk register or, if excluded, that there is a recorded rationale for why an Action/Improvement is no longer applicable.

7. Financial Implications

None outside of existing budgets. The continued development of the risk management culture within the Council will aim to achieve improved assessment under the Use of Resources scoring.

6. Legal Implications

None except specific legislation associated with any of the risk registers key objectives.

7. Corporate Objectives

Council Objective 02: Improvement.

8. Risk Management

8.1 Developing and maintaining Service risk registers will assist the Council to achieve its objectives, priorities, vision and values. The development and continual review of the registers will also support the Councils achievement of the Use of Resources framework.

8.2 Improvements and actions are monitored as part of each individual Service risk register.

9. Customer Implications

In addressing the risks associated with the delivery of the Councils services the customers will receive a consistent and controlled quality of service provision.

10. Equalities and Diversity Implications

The specific issue of improving equality and diversity is included within the Legal, Equalities and Democratic Services departmental register.

11. Other Implications

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|----------------------------------------------------------------------------|
| Procurement Issues: None |
| Personnel Implications: None |
| Governance / Performance Management: Effective governance process. |
| Community Safety including Section 17 of Crime and Disorder Act 1998: None |
| Policy: None |
| Environmental: None |

12. Others Consulted on the Report

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| Portfolio Holder | Yes |
| Chief Executive | Yes |

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|-------------------------------------------------|-----|
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| Executive Director (Services) | No |
| Assistant Chief Executive | No |
| Head of Service | Yes |
| Head of Financial Services | Yes |
| Head of Legal, Equalities & Democratic Services | yes |
| Head of HR & Organisational Development | Yes |
| Corporate Procurement Team | NA |

13. Appendices

None

14. Background Papers

Departmental risk registers – available from HOS

Contact officer

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