

BROMSGROVE DISTRICT COUNCIL

AUDIT BOARD

8TH JUNE 2009

RISK MANAGEMENT TRACKER

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

1. Summary

1.1 To present an end of year overview of Actions/Improvements as detailed in the Corporate and business area risk registers for the period 1st April 2008 to 31st March 2009.

2. Recommendation

2.1 The Audit Board is recommended to note progress to date against the Corporate and all business area risk register actions for Quarter 4 2008/09 (April 2008 – March 2009).

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:

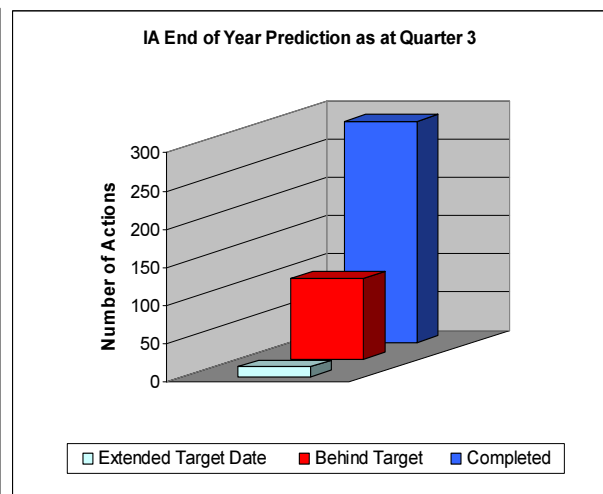
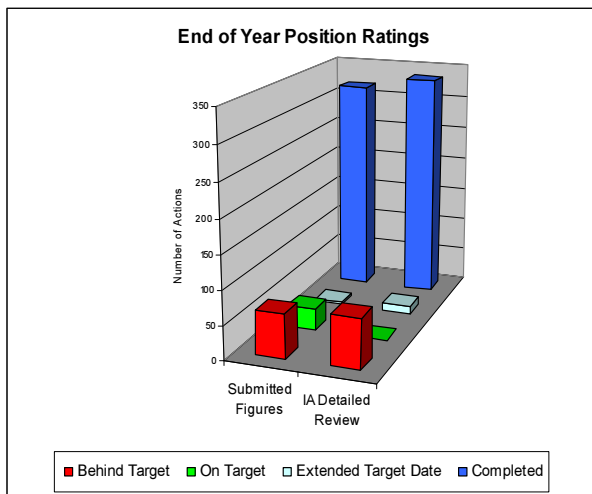
- Key Objectives;
- Risk Score;
- Current controls;
- Actions and improvements;
- Responsible officers and target dates for each action and improvement; and
- Progress against each action and improvement.

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.
- 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. Service Areas Summary

- 4.1 Each service area has submitted to Internal Audit the end of year position for each Action/Improvement detailed on their risk register.
- 4.2 A detailed review of each Action/Improvement, target date, quarter 4 position rating and commentary. The Internal Audit overall opinion has identified some differences in the current position ratings.



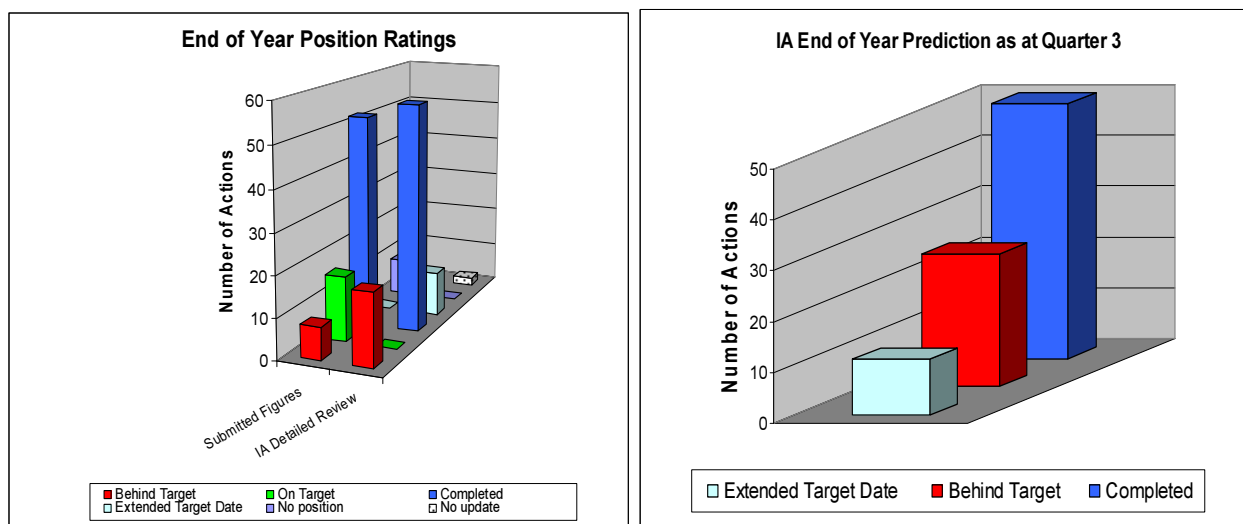
- 4.3 At the end of quarter 3, we predicted approximately 106 (out of 409) of Actions/Improvements would be behind target at the end of the 2008/09 financial year. Our review has verified that a total of 74 (out of 420) of Actions/Improvements were behind target at year end, that is, better than predicted.
- 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.
- 4.5 In order to highlight service area successes, Internal Audit have selected one key objective from each service areas risk register where all the Actions/Improvements have been completed during the year.

Corporate Communications, Policy & Performance
Drive delivery of the Improvement Plan, prepare the Council for its CPA re-inspection and prepare for CAA.
Culture & Community Services
Effective Development of the Bromsgrove Community Sport Network (BECAN).
Customer Service Centre
Ensure access to services at CSC meet Equality and Diversity objectives.
ICT
Provide access to a high quality, cost effective printing service for the Council.
Financial Services
Effective VFM culture and compliant procurement best practices.
Human Resources & Organisational Development
Effective Management of Health & Safety.
Legal, Equalities & Democratic Services
Effective democratic process and electoral service.
Planning & Environment Services
Provide effective and efficient customer focused service.
Street Scene
Effective and efficient street cleansing service.

Corporate Summary

4.6 The Executive Team and Heads of Service were requested to submit to Internal Audit the quarter 4 position for each Action/Improvement detailed on the Corporate Risk Register.

4.7 For explanation of Internal Audits detailed review, see 4.2 above.



4.8 At the end of Quarter 3, we predicted approximately 26 (out of 87) of Actions/Improvements would be behind target at the end of the 2008/09 financial year. Our review has verified that a total of 18 (out of 87) of Actions/Improvements were behind target at year end, that is, better than predicted.

4.9 The risk associated with the non delivery of the current actions is low due to the missed targets being those relating to improvements in services eg; improvements to commitment accounting and reporting mechanisms across the Council, rather than fundamental actions that would have a detrimental impact on the delivery of our services to the customers.

4.10 In order to highlight successes, Internal Audit have selected the key objectives where all the Actions/Improvements have been completed during the year.

Key Obj. detail	Responsibility
Effective Member / Member relations	Head of Legal, Equalities & Democratic Services and Head of HR & OD
Full compliance with all Health and Safety legislation	Head of HR & OD
Successful implementation of Job Evaluation	Head of HR & OD

Effective Projects Management	Assistant CEO
Effective Customer Focused Authority	Assistant CEO and Head of E-Gov & Customer Services
Successful implementation of Joint Chief Executive Initiative	CEO

Overall Summary

- 4.11 Internal Audit's review has identified an additional 21 Actions/Improvements (that is, 17 service areas and 4 Corporate) that we perceive as completed based on the commentary provided.
- 4.12 Comparison of Internal Audit's predicted position rating (based on the number of Actions/Improvements completed in the first half of the year) with the actual end of year rating confirms that for each business area the actual is the same or better than predicted.

Business area	IA Q2 prediction	Actual Q4
Corporate	Fair (Q3)	Good
Corporate Communications, Policy and Performance	Good	Good
Culture & Community	Excellent	Excellent
Customer Services	Good	Good
ICT	Fair	Good
Financial Services	Fair	Good
HR & OD	Fair	Good
Legal, Equalities & Democratic Services	Good	Good
Planning & Environment	Weak	Good
Street Scene	Good	Excellent

5. Financial Implications

- 5.1 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

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

7. Corporate Objectives

7.1 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

9.1 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

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

11. Other Implications

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

Portfolio Holder	Yes
Chief Executive	No
Executive Director (Services)	No
Assistant Chief Executive	No
Head of Service	No

Head of Financial Services	Yes
Head of Legal, Equalities & Democratic Services	No
Head of HR & Organisational Development	No
Corporate Procurement Team	No

13. Appendices

None.

14. Background Papers

14.1 Corporate Risk Register – available from the Head of Financial Services

14.2 Departmental risk registers – available from Heads of Service.

Contact officer

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