BURY METRO

REPORT FOR DECISION

Agenda Item	

MEETING: AUDIT COMMITTEE
THE EXECUTIVE
COUNCIL

DATE: 3rd June 2008 (Audit Committee)
11th June 2008 (Executive)
25th June 2008 (Council)

SUBJECT: RISK MANAGEMENT ANNUAL REPORT 2007/08

REPORT FROM: EXECUTIVE MEMBER – Councillor Peter Redstone (RESOURCE AND PERFORMANCE)

CONTACT OFFICER: M OWEN – DIRECTOR OF FINANCE AND E-GOVERNMENT

TYPE OF DECISION: COUNCIL

FREEDOM OF INFORMATION/ STATUS: This paper is within the public domain

SUMMARY:

The Risk Management Annual Report provides Members with details of risk management activity that has taken place over the past 12 months. It goes on to outline risk management policies and practices now in place and the key issues that will be addressed during the coming financial year.

OPTIONS AND RECOMMENDED OPTION :

Members are recommended to note the Annual Report and in particular to approve the minor amendments suggested to the Risk Management Policy and Strategy in section 6 of the report.

IMPLICATIONS -

Corporate Aims/Policy Do the proposals accord with the Policy

Framework:	Framework? Yes
Financial Implications and Risk Considerations	See DoFEG comment below
Statement by Director of Finance and E-Government:	There are no direct resource implications arising from this report. Risk management is an integral part of the Council's approach to Corporate Governance and service and financial planning and it is essential that robust risk management practices are put in place to safeguard the Council's assets and its reputation. Corporate, departmental and operational risk assessments have been undertaken and key elements of the resultant Management Action Plans are incorporated into Departmental Plans.
Equality/Diversity implications	No
Considered by Monitoring Officer:	☐
Are there any legal implications?	No
Staffing/ICT/Property:	There are no direct human resource, IT or land and property implications arising from this report.
Wards Affected:	All
Scrutiny Interest:	Resource and Performance Scrutiny Commission

TRACKING/PROCESS **DIRECTOR:** Mike Owen

Chief Executive/ Management Board	Executive Member/ Chair	Ward Members	Audit Committee
19/5/08	Executive Member (Resource and Performance)		3/6/08
Scrutiny Panel	**Executive**	**Committee**	**Council**
	11/6/08		25/6/08

1.0 BACKGROUND

1.1 The Executive approved a revised Risk Management Policy and Strategy in March 2006. Significant improvements in the development and implementation of a corporate risk management framework were made during 2006/07, and 2007/08 has seen further improvements being made in line with the requirements of the Strategy in particular around Partnership Risk Management and Business Continuity Management. This report takes the form of an annual report outlining improvements that have been made during this year period.

2.0 APPROACH TO RISK MANAGEMENT IN BURY

2.1 Risk management forms an integral part of strategic planning in Bury MBC ensuring early intervention and management of uncertainty in delivering key strategic priorities and outcomes that follow from the Council's Financial and Forward Planning Cycle Appendix A.

2.2 The risk management process forms an integral part at the early stages of this strategic planning process.

2.3 Early intervention and assessment of strategic plans ensures Departments are able to fully prepare their existing and new priorities within their own development and service plans as part of this annual planning cycle and manage their objectives effectively against financial, reputation and performance risks.

2.4 This approach to risk management ensures a continuous and evolving process that runs throughout the council's operations at all levels, increasing opportunity to optimise operational efficiency at the very lowest levels of service, programme and project delivery.

Good risk management supports accountability, performance measurement and reward, thus promoting operational efficiency at all levels. "A Risk Management Standard – IRM"

2.5 Risk Assessment Action Plan Registers (RAAP's) have been introduced and are used across teams to help record, action and monitor identified risk threats and opportunities as a result of strategic planning and service delivery. RAAP Registers as they are referred to throughout this report are used at all levels throughout the Council to record information and help manage Corporate, Departmental Strategic and Operational risks.

2.6 Risk management is used as an effective tool in the achievement of the Council's aims and objectives, with processes in place that allow for corporate, departmental strategic and operational activity to quickly identify, evaluate and manage areas of uncertainty. These arrangements include:

- An approved Corporate Policy & Strategy for Risk Management that can be read online or downloaded
- Corporate Risk Management Group (Member level)
- Operational Risk Management Group (Officer level)
- Comprehensive Intranet Risk Management Website and Toolkit
- Corporate Risk / Opportunity Assessment Action Plan Register

- Departmental Strategic Risk Assessment Action Plan Registers
- Operational Risk Assessment Action Plan Registers
- A Common Risk Register (General Good Administrative Management Practices) out with all service areas
- Dedicated Risk Management Team
- Partnership Risk Assessment Model (PRAM)

2.7 Also in place is an effective communication and reporting risk management network:

- The Executive
- Star Chambers
- Management Board
- Corporate Risk Management Member Group
- Operational Risk Management Officer Group
- Business Continuity Management representatives
- All departments and Service Heads

2.8 The diagram at Appendix B has been drawn up to help demonstrate Bury Council's risk management processes, illustrating strategic and operational planning across the authority, also the delivery of service and movement of risks associated with these two key risk drivers.

3.0 ACHIEVEMENTS DURING 2007/08

3.1 The main focus of activity over 2007/08 has been on further embedding risk management structures and practices, risk management training, the development of a business continuity management framework and the development of a framework for managing uncertainty across partnership activity.

3.2 The main achievements during 2007/08 include:

Reviews and performance monitoring

- Regular monitoring, reporting and up-dating of Action Plans via Star Chambers, Management Board, Departmental Management Teams and the Corporate Risk Management Group
- Improved ability to measure the success of risk management across both strategic and operational activity as a result of introducing as part of quarter reviews a risk management outcome return.

Training & Development

- Training events held with the Corporate RM Group, Audit Committee, Senior Officer Team and Management Board.
- Training events at Seedfield on Risk Management for Officers
- The development and release of an online e-learning risk management course developed using IDeA's LearningPool software. A course designed for all staff and elected member use.

Business Continuity Management

- The completion of service impact analysis across over 200 service areas in preparation for Business Continuity Management (BCM)
- The identification and prioritisation of all critical services for strategic and operational Business Continuity planning
- The development and approval of a Council wide Corporate Business Continuity Plan
- Establishment of BCM requirements within each Directorate and a focus on the development of Departmental Business Continuity Plans
- Establishment of BCM requirements within service areas and a focus on the development of Service Business Continuity Plans
- A dedicated Business Continuity website for both internal and external use

Partnership Risk Management

- The development and implementation of a common framework for assessing and managing risk in partnership "PRAM" (Partnership Risk Assessment Model).
- The development of a partnership risk management website
- Our most significant partnerships assessing and managing risk within a shared risk register

Financial & Performance benefits

- Effective risk management has contributed towards a reduction in insurance costs
- Effective risk and business continuity management during 2007/08 has identified a number of significant risks to the council and enabled key measures to be put in place. Evidence of the success of these measures is shown in the table.

Corporate Risk Events	Evidence – Risk Treatments…
Sustainable Budget	Priority Investment Reserve
	Priority led budgeting approach
	Risk Management as integral part of budget control
Improved performance management information	Integrated performance and finance data system operating (PIMS)
	Development of PIMS to allow Partner input
Reduction in absenteeism	BV12 indicator for 2007/08 recorded at 10.9 compared to 11.0 for 2006/07
Appropriate, clear and effective governance arrangements across partnerships	All key partners signed up to delivery of the Community Strategy
	Comprehensive Partnership Toolkit
	Partnership Risk Assessment Model
Effective Disaster Management Policies and Practices	Civil Contingencies Strategy
	Corporate BC Plan
	Corporate Critical Service List
	ICT disaster recovery Strategy
	Development of a backup ICT suite at a Town Centre location
	Effective recovery from a number of incidents, e.g. Radcliffe Flooding

3.3 All key activities set out in the 2006/07 Action Plan have been achieved. The development of a robust BCM framework continues into 2008/09 with service areas and departments reviewing and prioritising critical services.

3.4 The challenge for the coming year will be to maintain the momentum and to continue to review and enhance risk management and business continuity processes so that it can be clearly demonstrated that they are fully integrated into the business and financial planning processes.

- The 2007 CPA Inspection assessed the authority's risk management and business continuity arrangements and they were considered to be fit-for-purpose.

3.5 Keeping abreast of best practice and taking into account the future planned focus for CPA inspection the following areas will be our main priority for 2008/09:

- Establishing a framework for Business Continuity Management across partnership activity
- Widening the focus of risk management across the authority and in partnership
- Continuing to raise Member involvement in risk management and business continuity
- Continuing to strengthen risk management arrangements in key strategies such as the Medium Term Financial Strategy, the Workforce Development Strategy, the Asset Management Strategy etc.
- Continuing the development of risk reporting and monitoring processes
- Strengthening risk management arrangements at the operational level of the authority
- Ensure risk management focus is widened to include opportunity risk taking as well as managing potential threats.
- Benchmarking with other public and private sector organisations

4.0 RISK ASSESSMENT REVIEWS

4.1 Corporate and Departmental Risk Assessment Action Plans (RAAP's) have been reviewed on a quarterly basis during the year and the results and latest risk registers are set out at Appendix C. All updates to the risk registers have been recorded onto the risk management database and all RAAP's are available for reference on-line via the Intranet.

4.2 Movements between review periods have been reported to the Management Board, Star Chambers and the Corporate and Operational Risk Management Groups.

4.3 The Corporate RAAP is reviewed by Management Board every quarter throughout each year. The table below provides some changes that have occurred during these reviews.

Risk Reference	Risk Event	Change to Risk	High Medium Low	Decision
001	Budget is unsustainable and inadequate to support the achievement of the Council's Priorities and Ambitions	The likelihood following review of this risk has decreased from a possible score of 2 to an unlikely score of 1	Low	Accepted/ Controlled
006	Structures and resources within Children Services are not met	The likelihood following review of this risk has decreased from a possible score of 2 to an unlikely score of 1	Low	Controlled
008	Development planning policies and performance are unable to provide the framework or infrastructure to meet the Community Strategy Objectives	Following a review of both the likelihood and impact of this risk occurring the risk has been reduced significantly enough to be removed from the register		Removed
008	Uncontrolled demands for Social Care out-strip the available resources and capacity	The likelihood following review of this risk has increased from a possible score of 2 to a probable score of 3	Medium	Controlled
010	Back-log against the Maintenance Programme	The likelihood following review of this risk has decreased from a probable score of 3 to a possible score of 2	Medium	Controlled
011	Relocation of Travellers Site	The likelihood and impact following review of this risk has decreased from a probable score of 3 to a possible score of 2	Low	Accepted
013	Transfer of DLO to 6 Town Housing	New area of uncertainty recorded during the 1st Quarter of 07/08. Assessed and scored as a Medium Risk.	High	Accepted
014	Transportation Innovation Fund – Congestion Charging	New area of uncertainty recorded during the 1st Quarter of 07/08. Assessed and scored as a High Risk.	Medium	Accepted
015	Loss of control through the development of joint working across partnerships	New area of uncertainty recorded during the 2nd Quarter of 07/08. Assessed and considered to be a Low Risk but to remain on the register.	Medium	Controlled

4.4 The following table sets out a summary of Corporate Risks as at 31st March 2008.

CORPORATE RISK REGISTER AS AT 31ST MARCH 2008

Reference	Risk Event Category	Risk Event	Impact (New)	Likelihood (New)	Residual Risk Score	Target Risk Score	Rank	Action Taken
1	Budgets	Budget is unsustainable and inadequate to support the achievement of the Council's Priorities and Ambitions	3	1	3	3	L	Controlled
2	Performance	Performance levels reduce as measured by CPA / JAR performance management systems	3	2	6	3	M	Accepted
3	HumanResource	Absenteeism levels are unacceptably high (as measured by BVPI targets)	3	2	6	3	M	Accepted
4	Technologies	ICT systems are inadequate to facilitate change agenda or to allow the achievement of efficiency targets	2	1	2	2	L	Accepted
5	Partnerships	Failure to establish clear, appropriate and effective governance arrangement for all partnerships	3	1	3	3	L	Accepted
6	OrganisationalChange	Structures and or resources within Children Services are not met	3	1	3	3	L	Controlled
7	HumanResource	Arrangements for workforce development do not support the provision of a 'Fit for Purpose' workforce	3	1	3	3	L	Accepted
8	OrganisationalChange	Uncontrolled demands for Social Care out-strip the available resources and capacity	2	3	6	2	M	Accepted
9	Performance	Disaster Management policies practices and manuals are ineffective	2	3	6	2	M	Accepted
10	Assets	Back-log against the Maintenance Programme	3	2	6	3	M	Controlled
11	CommunitySafety	Relocation of Travellers Site	2	2	4	2	L	Accepted
12	Budgets	Conduct Pay & Grading Review in line with NJC pay agreement 04/07	4	4	16	4	H	Controlled
13	OrganisationalChange	Transfer of DLO to 6 Town Housing	3	2	6	3	M	Accepted
14	Transport	Transportation Innovation Fund - Congestion Charging	4	2	8	4	H	Controlled
15	Partnerships	Loss of control through the development of joint working across partnerships	3	1	3	3	L	Controlled

4.5 The table at Appendix D aligns the Council's Corporate Risk threats and opportunities following this final quarter review for 07/08 against the delivery of it's Priorities.

4.6 The table at Appendix E identifies speculative and pure risks as a result of the council's operations during 07/08. This includes the identification of risk threats as well as opportunity risks.

5.0 RISK MANAGEMENT IN PARTNERSHIP

5.1 Bury Council is making good progress in identifying and managing risks at both a strategic and operational level. However the authority also recognises the need to include "Partnership Working" within its risk management framework.

5.2 Risks need to be assessed at "Partnership" level; i.e. risks to the aims / objectives of the Partnership. Similarly it is necessary to assess the risks facing each organisation as a member of a "Partnership".

5.3 It is intended that this will be tackled in the following ways:

- By taking a consensus approach to risk management in Partnership working
- By the alignment of individual risk management methodologies in relation to Partnership activities.
- By the development of "Partnership Risk Registers", accepted by all parties.

5.4 Partnership working presents a number of new risks:

- Partner organisations will have different aims and objectives
- Often Partnerships are innovative, and there is no proven track record for the work they are undertaking.
- By definition, they involve different organisations, with different cultures and systems.
- It is likely each organisation will have a different approach to the management of risk
- Organisations will have differing risk thresholds / risk "appetite"

5.5 It is essential that the Partnership manages risks (and maximises opportunities) that can impact upon the aims and objectives of the Partnership as a whole. Equally, Partner organisations need to understand the nature and extent of the risk they face individually through Partnership working.

5.6 The following progress has been made:

- Identification of key partnership objectives / activities – all thematic groups
- Assessment of Risk Management models in each respective organisation
- Alignment of Risk Management methodologies with respect to Partnership working
- A common framework for assessing and managing risk across partnerships has been approved by the Public Service Board and is available online via "Team Bury's" website for use by all partnerships.
- The Code of Practice for Partnership Working has been approved by Executive and is available on the Intranet for internal use. A copy will be displayed on the Internet for partners to use as a best practice guide.
- All significant partnerships have been identified and partners are bringing together risk registers as a result of working within a common risk management framework.

6.0 REVIEW OF RISK MANAGEMENT POLICY AND STRATEGY

6.1 The Risk Management Policy and Strategy has been updated with a new section that makes specific reference to partnership risk, success criteria will be built in to allow more focussed monitoring of the Policy itself, the roles and responsibilities section has been amended to reflect a separation between internal audit and risk management. The Policy and Strategy is felt to be fit for purpose and is available online via the Intranet.

7.0 CONCLUSIONS

7.1 Considerable progress continues to be made in the area of risk management and in embedding the approach to risk management into the authority's processes and culture. However there is no room for complacency and this subject will continue to be given significant attention over the coming twelve months.

Councillor Peter Redstone
Executive Member (Resource and Performance)

Background documents:
Various files held within the Director's office.

For further information on the contents of this report, please contact:
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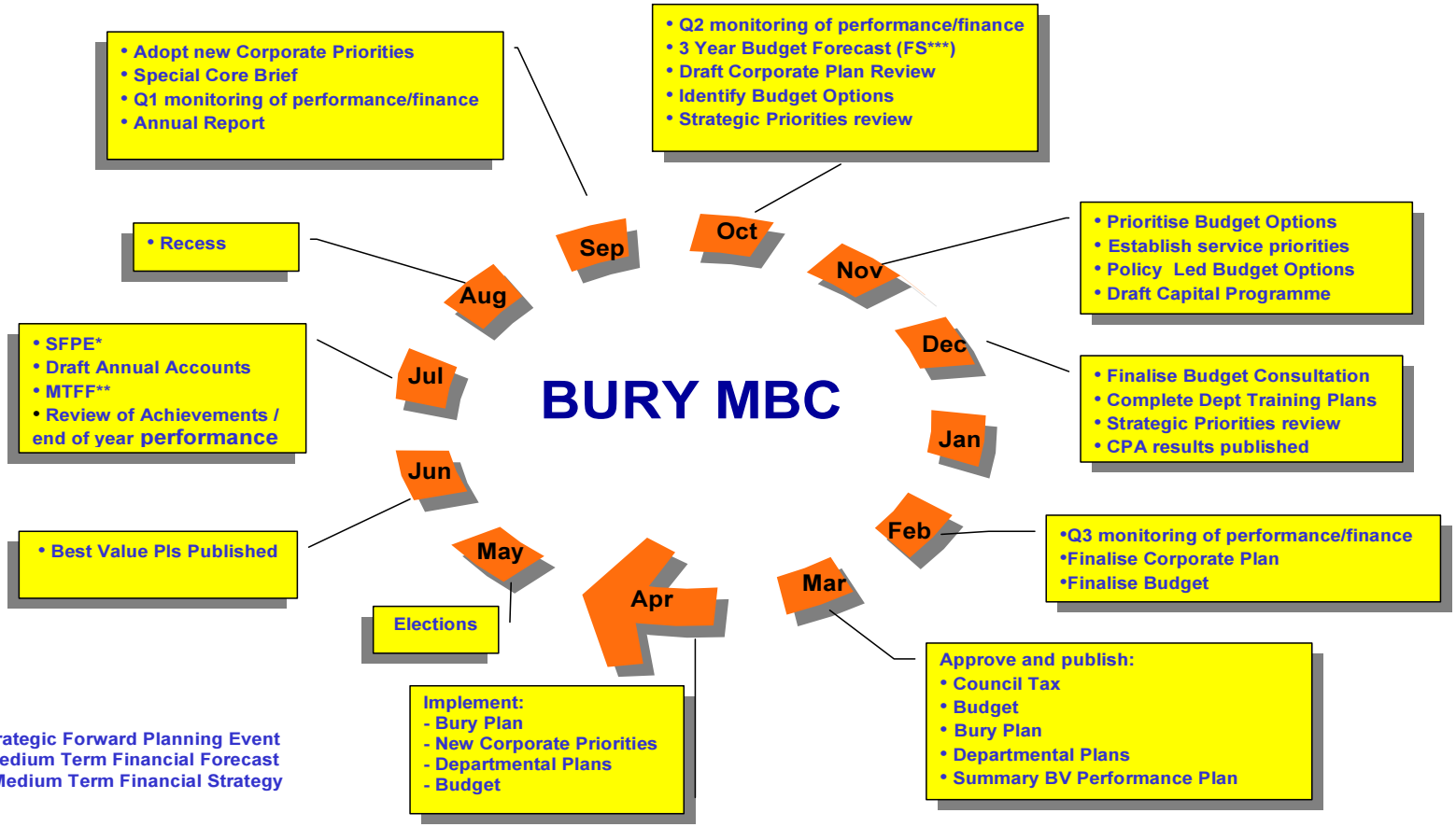
APPENDIX A

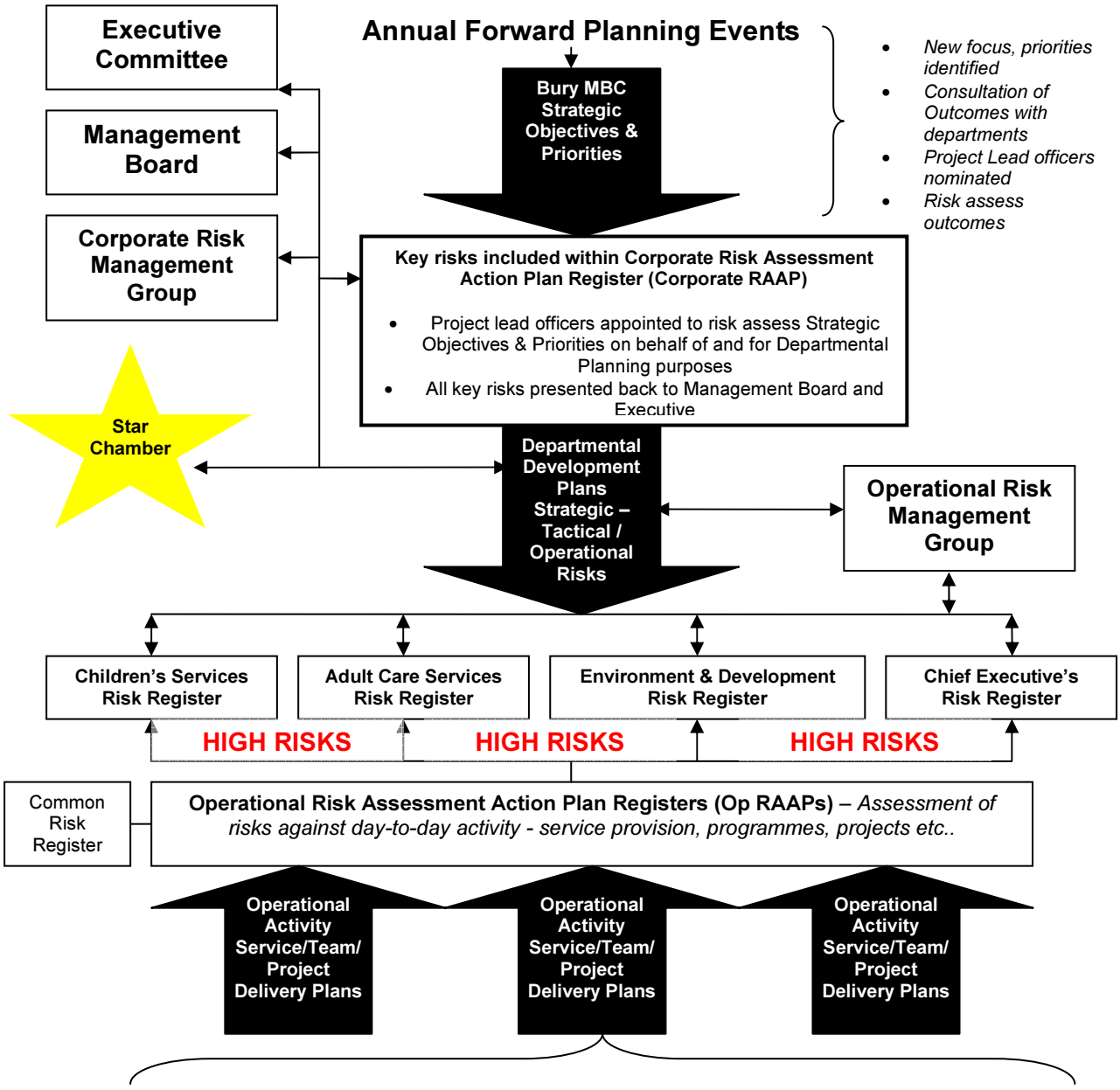
FINANCIAL AND CORPORATE PLANNING CYCLE



* Strategic Forward Planning Event
** Medium Term Financial Forecast
*** Medium Term Financial Strategy

September 2006

APPENDIX B



Risks Internal & External Environment

External Drivers

Financial	Strategic	Operational	Hazards
Interest Rates	Competition	Regulations	Contracts
Credit	Customer Change	Culture	Natural events
	Industry change		Suppliers
	Customer Demand		Environment
	Political Change		

Internal Drivers

Liquidity	Research	Accounting	Employees
Cash Flow	Development	Information	Public Access
		Systems	Properties
			Products/Services

Appendix C

CHILDREN SERVICES DS RAAP PERIOD JANUARY - MARCH 2008

Risk Event Category	Reference	Risk Event	Impact (New)	Likelihood (New)	Residual Risk Score	Rank	Action Taken	Target Risk Score
Partnerships	1A	Development of Children's Trust	1	4	4	L	Controlled	4
Budgets	2	Poor levels of funding	2	2	4	L	Controlled	4
OrganisationalChange	3	Organisational change	2	2	4	L	Controlled	4
HumanResource	5	Human Resources / Workforce Development	2	4	8	H	Controlled	8
HumanResource	5A	Single Status / Equal Pay	4	4	16	H	Modified	8
Performance	6	Performance Management	2	1	2	L	Controlled	2
Performance	7	Business Continuity	2	2	4	L	Controlled	4
Contracts	8	Failure to put in place effective commissioning arrangements	2	2	2	L	Controlled	2
Communications	10	Participation and consultation	2	1	2	L	Controlled	2
CommunitySafety	12	Child Protection	2	1	2	L	Controlled	2
Performance	13	Assessment and Inspection	3	3	9	H	Controlled	3
Education & Training	14	Future of Learning Reviews	3	3	9	H	Controlled	3
Education & Training	15	Development of Children's Centres	3	3	9	H	Controlled	3

Adult Care Services DS RAAP Period January to March 2008

Risk Event Category	Ref.	Risk Event	Impact (new)	Likelihood (new)	Residual Risk Score	Rank	Action Taken	Target Risk Score
Performance	1	Market Failure &/or (lack of) market capacity	2	2	4	L	Accepted	4
Performance	2	CSCI Inspections recommendations (& judicial reviews & ombudsman reports)	2	2	4	L	Accepted	4
Partnerships	3	Managing partnerships effectively across health services	2	2	4	L	Accepted	4
Technologies	4	AGRESSO financial management system fully operational & supporting adult care services	NO LONGER A DEPT RISK (RE: PHASE 1)					
Budget	5	Base budget for Adult Care Services is less than that required to meet existing demand for services	4	4	16	H	Reported	8
Budget	6	Future years Adult Care Services budgets fail to match increased future demand for services	4	4	16	H	Reported	8
Human Resources	7	Staff qualifications (in whole social care sector)	4	1	4	L	Accepted	4
Human Resources	8	Staff Recruitment & Retention	2	3	6	M	Accepted	6
Human Resources	9	Single Status Pay	3	3	9	H	Reported	3
Performance	10	Implications of White Paper 'Our Health, Our Care, Our Say'	3	1	3	L	Accepted	3
Asset Management	11	Adult Care Services Building portfolio	3	2	6	M	Accepted	6
Asset Management	12	Care Village Proposals	2	3	6	M	Accepted	6
Health & Safety	13	Injury to a service user in our direct care/ or death whilst waiting for a service	4	1	4	M	Accepted	4
Performance	14	Managerial Capacity to deliver all the changes required	2	2	4	L	Accepted	4
Budget	15	Availability of external capital funding	3	2	6	M	Accepted	6
Performance	16	Protection of Vunlerable Adults	3	2	6	M	Accepted	6
Health & Safety	17	(Non-) Compliance with the Mental Capacity Act	2	2	4	L	Accepted	4
Health & Safety	18	(Non-) Compliance with Health & Safety regulations	2	2	4	L	Accepted	4
Technologies	19	Phase 2 of AGRESSO & Trent management systems fully operational & supporting adult care services	1	2	2	L	Accepted	2
Human Resources / Performance	20	Transforming Social Care	2	2	4	L	Accepted	4

EDS DS RAAP SUMMARY REVIEW - JANUARY - MARCH 2008

Reference	Risk Event	Risk Event Category	Impact (New)	Likelihood (New)	Residual Risk Score	Rank	Action Taken	Target Risk Score
2	Control rooms becoming out of date and inefficient.	CommunitySafety	4	4	16	H	Reported	8
7	Procurement systems phase 2 (AGRESSO) not implemented on time or to required standards	Technologies	2	4	8	H	Controlled	4
9	Payroll systems (TRENT) not implemented on time or to required standards	Technologies	3	2	6	M	Accepted	6
10	EDRM system (ANITE) not implemented on time or to expected standards	Technologies	3	2	6	M	Accepted	6
11	CCM systems not implemented on time to to expected standards	Technologies	3	2	6	M	Controlled	6
12	Failure to keep pace with deteriorating stock capital resource and investments	Assets	3	1	3	L	Controlled	3
13	Failure to recruit and retain suitable staff in posts	HumanResource	2	1	2	L	Accepted	2
15	Leisure Management Deficit	Leisure	2	2	4	L	Accepted	2
16	Failure to secure adequate car parking spaces	Transport	3	2	6	M	Accepted	6
17	Failure to organise move across of services and personnel effectively to Townside Field as a result of timing of move and accommodation not being ready	OrganisationalChange	2	2	4	L	Controlled	2
18	Inability to achieve performance targets - waste management	Performance	2	2	4	L	Controlled	2
20	Pimhole re-development under resourced / fails to deliver outcomes	Regeneration-Development	3	2	6	M	Accepted	3
21	Relocation of Travellers Site	CommunitySafety	4	4	16	H	Reported	8
22	Pay and Grading Review and related pay issues	Budgets	3	3	9	H	Accepted	9
23	Departmental systems TASK SBS not implemented on time or to expected standards	Technologies	2	2	4	L	Accepted	4
24	Failure to balance budget 2008/09 - insufficient resources to meet departmental objectives and new legislative requirements	Budgets	3	1	3	L	Accepted	3
25	Trent HR/Payroll system (Phase 2) not implemented on time or to required standards	Technologies	3	1	3	L	Accepted	3
27	Townside Fields JVC	Assets	3	1	3	L	Controlled	3
28	Transfer of DLO to Six Town Housing	Housing	2	2	4	L	Controlled	2
29	Transportation Innovation Fund - Congestion Charging	Transport	4	2	8	H	Controlled	4

CHIEF EXECUTIVES DEPARTMENTAL STRATEGIC RISK REGISTER - PERIOD JANUARY - MARCH 2008

Risk Event Category	Reference	Risk Event	Impact (New)	Likelihood (New)	Residual Risk Score	Rank	Action Taken	Target Risk Score
Technologies	1 (Revised)	Opportunity to develop back office systems and realise efficiencies / control enhancements; EDRM, CRM, Agresso (Ph 1), Agresso P2P	4	2	8	H	Accepted	4
Budgets	4	To achieve local land charges target for income generation and minimise the potential financial implications of Home Information Packs on the land charges budget position	3	3	9	H	Accepted	3
Budgets	5	Conduct Pay & Grading Review in line with NJC pay agreement 04/07	4	4	16	H	Reported	4
Performance	7	Continue to perform in line with CPA & JAR improvement management system	3	2	6	M	Accepted	3
HumanResource	8	Reduce Sickness and Absenteeism levels within the department	3	3	9	H	Accepted	3
Partnerships	10	Opportunity to establish clear, appropriate and effective governance arrangement for all partnerships	3	1	3	L	Accepted	3
Partnerships	14	Opportunity to develop Alternative Service Delivery Models to enhance capacity, performance and secure efficiencies from support services	4	2	8	H	Accepted	4
Partnerships	15	Development of Local Area Partnerships to improve the quality of life and achieve better outcomes for all people in our communities	3	1	3	L	Accepted	3

CORPORATE RISKS Vs PRIORITIES COMPARISON

BETTER OPPORTUNITIES FOR CHILDREN & YOUNG PEOPLE

Risk Event	Measures being taken
Structures and or resources within Children Services are not met	Service reviews - efficiency savings to create capacity
	Establishment of Project Board to oversee funding
	Development of medium term financial strategy linked to delivering key priorities
	Development of policy led approach to revenue budget
	Increase resource management support

PUTTING CUSTOMERS FIRST

Risk Event	Measures being taken
Conduct Pay & Grading Review in line with NJC pay agreement 04/07	Actions required are detailed and monitored on a project plan
	Twice weekly meetings to review progress against action plan
	Joint working / sharing of best practice with AGMA authorities
	Joint funding legal advice and procurement of services with AGMA
	Internal steering group established
	Job Analyst to manage information
	Re-modelling of existing job analyst post
	Jointly fund work with finance to analyze job evaluation results
	Re-modelling of existing job analyst post
	Additional 3 posts established
	Regular updates on progress to project plan
	Resources identified to co-ordinate pay modelling
Arrangements for workforce development do not support the provision of a 'Fit for Purpose' workforce	Corporate Workforce plan in place
	Guidelines and toolkit on intranet
	OD support in place
	Review of Corporate Plan annually
	Departments to submit WFDP's with Service Plans
	Support provided in completion of WFDP's

PUTTING CUSTOMERS FIRST Cont'd

Risk Event	Measures being taken
ICT systems are inadequate to facilitate change agenda or to allow the achievement of efficiency targets	Establishment of development and systems steering groups
	Risk registers in place
	Review of progress against action plans
	Project structures and reporting mechanisms in place
	Detailed PID and plans developed
	Involvement of key stakeholders
	Independent consultancy to aid understanding
	Use of prototype systems
	Demos and Piloting phases
Absenteeism levels are unacceptably high (as measured by BVPI targets)	Workshops held (customers)
	Managing attendance policy
	Return to work interviews
	Review meetings
	Trigger reports from TRENT to service managers
	Absence case management group
	Referrals to OH
	Stress Study Project
Performance levels reduce as measured by CPA / JAR performance management systems	Piloting of various initiatives with departments
	Quarterly monitoring of PI results
	Internal audit checks of high risk indicators
	Guidance issued to departments
	Support for inspections/assessment
	Integrate performance and finance data
	Use of resources action plan
	Best value review program in place
	CPA / JAR Project Board established
	CAP Self Assessments
	Data Quality Action Plan
	Enhanced PM PIMS2
Transfer of DLO to 6 Town Housing	Service Quality agreements
	Detailed Project Plans
	Development of SLAs for work on non-housing buildings and facilities
	Regular meetings with Six Town Housing to monitor implementation of Improvement Plan

PUTTING CUSTOMERS FIRST Cont'd

Risk Event	Measures being taken
Budget is unsustainable and inadequate to support the achievement of the Council's Priorities and Ambitions	Reduce reliance upon one-off savings options
	Increase base budget through sustainable options (e.g. on-going savings, Council Tax levels)
	Campaign for improved allocation of national resources
	Roll out priority led budgeting process
	Strengthening of budget monitoring process through risk based approach
Loss of control through the joint working of partnerships – Development of Local Area Partnerships	Development of an Operational framework
	Regular meetings with partners and the community
	Day to day contact / networking
	Working groups in place to implement Local Community Plans
	Close working with community groups
	Public campaigns
	Elected member involvement
	Comprehensive review
	Annual reviews for each Local Area Partnership
	Review of community engagement initiative

STRENGTHENED COMMUNITIES

Risk Event	Measures being taken
Relocation of Travellers Site	Included in Capital Program 2009/10 based upon estimate of £2m
	New site location to be agreed
	Seeking external financial grant for 2009/10
	Seeking land for new site
	Advice re legal issues and professional witness links to Community Safety & Police
Failure to establish clear, appropriate and effective governance arrangement for all partnerships	Guidelines for partners
	Reviews to ensure all partners area identified to maximize use of resources
	All partners signed up to the delivery of the Community Strategy
	Regular meetings - include full partnership and thematic
	Established point of contact responsible officer as liaison for a particular partnership

STRENGTHENED COMMUNITIES Cont'd

Risk Event	Measures being taken
Failure to establish clear, appropriate and effective governance arrangement for all partnerships	Project/performance management applied to partnership objectives
	Contact officers to develop culture to allow early warning of problems.
	Put in place arrangements to ensure a common understanding of the risks and how they can be managed
	Put in place arrangements for agreed standards for assessing risks
	Partnership agreement on risk terminology
	Put in place necessary arrangements to ensure resources are scaled to match risk
	Undertake landscape reviews to make sure all partners are identified to maximize use of resources
	Establish a consistent and common approach across organizational and departmental boundaries
	Establish clear responsibility and accountability for risks with partners
	Contingency plans to minimize adverse effects on public service if partners fail to deliver

CHOICE OF QUALITY HOUSING

Risk Event	Measures being taken
Transfer of DLO to 6 Town Housing	Service Quality agreements
	Detailed Project Plans
	Development of SLAs for work on non-housing buildings and facilities
	Regular meetings with Six Town Housing to monitor implementation of Improvement Plan

CLEANER, SAFER, GREENER

Risk Event	Measures being taken
Backlog maintenance	Baseline 2007/10 Planned Maintenance Program identifies existing level of planned maintenance spend
	2005/08 Risk Survey Program - condition surveys and specialist gas, electrical, asbestos and Legionella surveys
	Backlog maintenance established as a corporate priority at Forward Planning Events
	£600,000 of capital resources allocated in 2008/11 Capital Program to address backlog maintenance as a priority
	Planned relocation from Craig House & Lester House to Townside offices in first quarter 2010 will resolve £1.2m dilapidations liability.
	Major Capital Programs for Housing £32.63m decent homes & Children's Services £81.3m - backlog and modernization) over 2007/10.
	Monitoring by Premises Group and Asset Management Strategy Group
	Re-assess priorities and review overall level of backlog maintenance in 2008/11 AMP
	Building Manager responsibilities identified for each facility.
	Assess feasibility of accommodating risk survey data within K2 upgrade system
Disaster Management policies practices and manuals are ineffective	Development of Civil Contingency Strategy as required by the CCA 03
	Establishment of Corporate BC Management Plans. Gold, Silver and Bronze levels.
	Review and update of Major Incident Plan
Transportation Innovation Fund - Congestion Charging	Active discussions taking place at AGMA level
	Continued lobbying through AGMA
	Continuing to make the best use of existing resources

IMPROVING TOWN CENTRES AND NEIGHBOURHOODS

Risk Event	Measures being taken
Backlog maintenance	Baseline 2007/10 Planned Maintenance Program identifies existing level of planned maintenance spend
	2005/08 Risk Survey Program - condition surveys and specialist gas, electrical, asbestos and Legionella surveys
	Backlog maintenance established as a corporate priority at Forward Planning Events
	£600,000 of capital resources allocated in 2008/11 Capital Program to address backlog maintenance as priority
	Planned relocation from Craig House & Lester House to Townside offices in first quarter 2010 will resolve £1.2m dilapidations liability.
	Major Capital Programs for Housing £32.63m decent homes & Children's Services £81.3m - backlog and modernization) over 2007/10.
	Monitoring by Premises Group and Asset Management Strategy Group
	Re-assess priorities and review overall level of backlog maintenance in 2008/11 AMP
	Building Manager responsibilities identified for each facility.
Transportation Innovation Fund - Congestion Charging	Active discussions taking place at AGMA level
	Continued lobbying through AGMA
	Continuing to make the best use of existing resources

PROMOTING HEALTHIER LIVING

Risk Event	Measures being taken
Uncontrolled demands for Social Care out-strip the available resources and capacity	Ensure that all Service reviews completed on schedule, & full year target savings achieved
	Ensure that budget savings identified in 2007/08 are ongoing, & increase targets for 2008/09
	Develop a detailed 3 year forecast model for LD & PD external contracts
	Ensure that future budget pressures highlighted & fully understood by CEMT & Members - seek budget growth
	Service reviews in areas where Benchmarking & unit cost comparisons indicate high cost
	Complete identification of 'core' services to be retained; seek alternative providers for others
	Development of Individual Budgets, & Re-ablement concepts
	Work of 'Modernization Task Team', to review all aspects of service delivery & commissioning
	Consider tightening of FACS criteria, & more stringent budget controls (eg freezes)
	Development of Community Needs Assessment, & Wanless methodology for longer term demand projections

2007-08 Identified and Managed Opportunity Risks

Mainly (speculative) risk events identified, that if successful will have a positive impact on the Council's performance. These are positive risks that exist as a result of continual improvement to achieve objectives but which are surrounded by their own inherent risk threats being managed at operational level and in partnership.

Opportunity Risks
Projects/Programmes
Development of a Care Village
Delivery of Pimhole re-development programme
Development of Townside Fields
Partnership working
Transformation of services across social care
Development of partnership working across health services
Establishment of clear, appropriate and effective governance arrangement for all partnerships
Development of Children's Centres
Development of Children's Trust
Internal Structures/Developments
Transfer of DLO to 6 Town Housing
Develop Alternative Service Delivery Models to enhance capacity, performance and secures efficiencies from support services
Technology
Opportunity to develop back office systems and realise efficiencies / control enhancements; EDRM, CRM, AGRESSO Phase 1 & 2

2007-08 Identified and Managed Risk Threats

Risk events that have been identified that if unsuccessfully managed will have a negative impact upon the council's performance. These are mainly inherent negative (pure) risks that exist as a result of the changing environment in which the Council operates

Threat Risks
External & Regulation
Impact of CSCI inspections recommendations
Implications of White Paper "Our Health, Our Care, Our Say"
Market failure and/or lack of market capacity
Non-Compliance with the Mental Capacity Act
Non-Compliance with Health & Safety Regulations
Quality of Services
Managerial capacity to deliver change
Having effective commissioning arrangements
Establishing robust Business Continuity Management arrangements
Reduction in performance levels as measured by CPA / JAR
Safety and security - Control rooms becoming out of date and inefficient
Achievement of waste management performance targets
Funding & Resources
Failure to balance budget 2008/09 - insufficient resources to meet departmental objectives and new legislative requirements
Availability of external capital funding

Increase pressure on budget following Pay & Grading Review
Future years budget fails to meet high demand services - Social and Child Care
Base budget is less than that required to meet existing demand
Achievement of local land charges target for income generation
Leisure Management Deficit
Increase backlog of maintenance work
Technology
ICT systems being inadequate to facilitate change agenda or to allow the achievement of efficiency targets
Assets
Adult Care Services Building Portfolio
Keeping pace with deteriorating stock capital resource and investments
Employees
Staff recruitment & retention
Reduction in Sickness and Absenteeism levels
Public and Employee Participation and consultation
Human Resources / Workforce Development
Staff qualification across Social Care Services
Community
Protection of Vulnerable Adults
Child Protection
Relocation of Travellers Site
Transportation Innovation Fund - Congestion Charging
Failure to secure adequate car parking spaces