

OVERVIEW AND SCRUTINY COMMISSION
19 March 2009

RISK MANAGEMENT UPDATE
Director of Corporate Services

1 PURPOSE OF REPORT

- 1.1 Risk management forms a key part of the Council's corporate governance and internal control framework and should form part of all decision-making and policy-making. The development of action plans to address risks to the achievement of our Medium Term Objectives is a vital part of the risk management process.
- 1.2 The purpose of this report is to provide the Overview and Scrutiny Commission with an update on the progress on risk management at the Council and report back on the development of strategic risk action plans and progress on actions.

2 SUPPORTING INFORMATION

Strategic Risk Register

- 2.1 The Strategic Risk Register has been updated, reviewed by the Strategic Risk Management Group (SRMG) and agreed by the Corporate Management Team (CMT) on a quarterly basis since January 2008. It is intended that the Executive will review and approve the Register twice a year. The Executive approved the Strategic Risk Register on 22 July and will review the Register after the next update in April.
- 2.2 The Register was last updated in December 2008 and following review by SRMG on 5 January was considered and approved by CMT on 4 February 2009. The Register as approved by CMT is attached at Appendix A.

Strategic Risk Action Plans

- 2.3 To ensure effective risk management, once risks above our tolerance level have been identified we need to consider how we can respond to manage these risks, develop plans to set out proposed actions and responsibilities and monitor progress on actions. Risks may be managed by:
- Controlling the risk
 - Transferring the risk
 - Modifying the risk
 - Avoidance; or
 - Acceptance
- 2.4 The need to develop and document action plans for our strategic risks over the tolerance level determined by CMT was included in Zurich Municipal's report on the development of the Strategic Risk Register and in the 2007/08 internal audit report on risk management. The Strategic Risk Register was reported to the Overview and Scrutiny Commission on 11th September 2008. At this stage, risk owners were in the process of documenting the actions they were taking to address strategic risks assigned to them. The Commission requested that the Head of Audit and Risk Management report back with the documented action plans and progress on actions.

- 2.5 Risk owners have since completed documenting their action plans for the strategic risks assigned to them with the assistance of the Head of Audit and Risk Management and these were reviewed at CMT on 26th November and by the Executive on 16th December. Service Plans for 2009/10 will include an annexe with each risk owner's strategic risk action plans.
- 2.6 Risk owners were asked to provide details of the progress on their risk action plans as at 31 December and these are attached at Appendix B. Quarterly Performance Monitoring Reports will include updates from quarter 4 of 2008/09.

Risk Management Strategy and Toolkit

- 2.7 The Risk Management Strategy incorporating the Risk Management Policy has been revised and a Risk Management Toolkit has been developed to assist managers in identifying, evaluating and managing risks. Both documents were reviewed by SRMG on 5th January 2009 and have subsequently been amended to take on board comments made by SRMG and re-circulated to SRMG members for final comment. The revised Risk Management Strategy and Toolkit will be taken to CMT in March 2009.

Background Papers

Zurich Municipal Strategic Risk Management Report
Risk Management Internal Audit Report

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STRATEGIC RISK REGISTER RISKS OVER TOLERANCE LEVEL APPROVED BY CMT 4 FEBRUARY 2009

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
1	C2	C2	Decision making	Medium Term Objective 10	<p>Current financial circumstances mean that the Council must take and maintain some potentially difficult decisions, as outlined previously to inspectors, and maintain a tight financial regime.</p> <p>Some of these decisions will have an impact on frontline services, and there may be a reluctance to do this.</p>	The Council is unwilling / unable to take difficult decisions	<ul style="list-style-type: none"> • Unable to make key decision • Savings cannot be made • Savings made from other areas or across the board • Salami slicing of a number of service areas • Impact on frontline services • Further impact on support services • Service delivery affected • Adverse effect on performance • Complaints from stakeholders • Adverse publicity • Image of Council damaged 	Chief Executive

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
2	B2	B2	Demographic and socio economic changes	Medium Term Objective 6, 7 and 9.	<p>The council plans in advance for possible demographic changes and estimates of this have been built into the budget. A high number of the services provided by the Council are demand-led, however, and it can be difficult to predict this accurately.</p> <p>It is recognised that the profile of elderly and young people, and ethnic diversity is rapidly changing in a number of other areas also, which can be difficult to map, and can have a significant impact.</p>	Unplanned demographic or socio-economic changes and increasing level of inward migration and housing development have significant detrimental impact on the delivery of services	<ul style="list-style-type: none"> • Community does not receive services they require • Sudden surges in community and police issues • Impact on recruitment • Adverse publicity • Reputation damaged 	Director Social Care and Learning / Director of Environment Culture and Communities

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
3	B2	B2	Demand led services	Medium Term Objective 5, 6, 7 and 9.	<p>There are challenges to the demand-led care services within Bracknell Forest.</p> <p>The population of older people is set to dramatically increase and there are more, younger, people coming into the system with intensive support needs and there is a changing incidence of disability. These services represent major components of the Councils funding provision.</p> <p>Reduction in the current population with input on demand led services.</p>	<p>Finances and/or resources required to support demand are significantly higher than planned.</p> <p>Economic downturn may lead to increased demand for some services e.g. provision of accommodation for homeless</p>	<ul style="list-style-type: none"> • More and more resource is needed to run the services • Significant budget overspends • Money drawn from other services • Cost spiral • Reductions in service level the council can offer • Revenue problems not resolved by capital investments • Adverse effect on staff morale affected • Adverse effect on assessments • Members need to make unpopular decisions. • Councils finances compromised • Cost increases • Timescales change 	Director Social Care and Learning / Director of Environment Culture and Communities
4	C2	C2	South East Plan	Medium Term Objective 3.	<p>The South East plan will mean a significantly increased level of housing in the borough. (approx 11k houses)</p> <p>The increased number of houses will require an</p>	Houses built without accompanying improvements in infrastructure	<ul style="list-style-type: none"> • Demands on services increase • Infrastructure is put under pressure • Transport system under pressure • Area becomes less attractive to employers 	Director of Environment Culture and Communities

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
					accompanying level of infrastructure improvements (transport, schools, hospitals)		<ul style="list-style-type: none"> • Risk of unemployment • Area becomes less attractive place to live. • Residents complain • Image of Council damaged 	
5	B2	C1	Town Centre	Medium Term Objective 1.	The Town Centre project is dependent on a number of conditions. Key factors are: 1) difficulties in securing funding in the current economic climate; and 2) the need to secure the commitment of 2 anchor stores to ensure the centre is attractive to other tenants and can subsequently provide an attractive retail centre that can successfully compete with other local towns.	BRP is unable to secure a third party investor in the current economic climate BRP cannot secure the commitment of the anchor stores	<ul style="list-style-type: none"> • Overall Scheme potentially unviable • Delays • Council reputation damaged • Satisfaction with Council and services decline • Delays to the Civic Hub project 	Chief Executive / Director of Environment Culture and Communities
6	D2	D2	Key people leave	Medium Term Objective 1,2,3,4,5,6, and 9.	The council is a lean organisation delivering a wide range of services and improvement programme with little excess capacity or resources. A large amount of knowledge	A number of key person(s) leaves or is unavailable for a significant period of time	<ul style="list-style-type: none"> • Loss of skills, knowledge and experience • No-one else in council has skills or capacity to cover the post • Impact felt across whole council • Remaining staff under 	Director of Corporate Services

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
					<p>and expertise in the council rests with a few key people in key positions.</p> <p>The council is in competition for staff with a number of similar authorities in the area and London.</p>		<p>pressure</p> <ul style="list-style-type: none"> • Adverse impact of staff morale leading to stress, increased absenteeism or high turnover • Service delivery or improvement programme affected • Loss of grant funding 	
7	B2	B2	Income projections	Medium Term Objective 10	The Council has made projections and forecasts around income levels e.g. leisure fees and charges, car parks, commercial property and interest	Significantly lower income than projected or income adversely affected by credit crunch	<ul style="list-style-type: none"> • Significant amount of money needs to be found • Budgets have to be cut to balance the books • Services have to be prioritised/reduced • Staff workloads increase • Staff feel they are being targeted for cuts • Staff are frustrated at situation • Services suffer from lack of resources • Public dissatisfaction with Council services • Detrimental impact on Council • Council reputation damaged 	Director of Environment Culture and Communities
8	C2	B2	Travel savings plan	Medium Term Objective	Systematic approach for the Council to review the impact of its travel and	Reduced levels of parking mean that fewer staff are	<ul style="list-style-type: none"> • Adverse impact of staff morale • Loss of staff 	Director of Corporate Services

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
				10	transport plans.	provided with free parking.	<ul style="list-style-type: none"> Impact on recruitment of new staff 	
9	B2	B2	Funding pressures	All Medium Term Objectives	Financial pressures due to potential factors such as the impact of the credit crunch, reduction in funding, increased costs, major project overspend, savings targets not being achieved, inability to identify additional income, deterioration in buildings and other assets due to lack of maintenance, uncertainty about grant funding, unforeseen government initiatives or as a result of changes to national or European legislation, eg Social rent Reform.	Inability to meet financial targets and reduction to funding available for specific services	<ul style="list-style-type: none"> Budgets have to be cut to balance the books Impact on Council Tax Services have to be prioritised/reduced Staff workloads increase Staff feel they are being targeted for cuts Staff are frustrated at situation Services suffer from lack of resources Public dissatisfaction with Council services Detrimental impact on Council Council reputation damaged Censure by audit and inspection Loss of income Vulnerability of investments 	Borough Treasurer
10	C2	C2	Loss of systems and data	Medium term objectives 6,7, 8,9 and 10	The Council is heavily dependent on its IT systems to deliver and record the delivery of services and process transactions. IT failure would impact significantly on this. In	IT system failure or loss of paper based sensitive information or poorly implemented projects and lack of robust project management.	<ul style="list-style-type: none"> Loss of key management information Potential loss of income if unable to record and process transactions for front line services Loss of personal data on 	Borough Treasurer

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
					addition, the Council holds sensitive information on individuals in both electronic and paper form.		<p>employees or residents including vulnerable groups such as children</p> <ul style="list-style-type: none"> • Breach in data protection legislation • Detrimental impact on Council reputation • Censure by audit and inspection 	
11	D2	D2	Business Continuity Incidents	Medium term objectives 2,7 and 10	The Council's activities could be disrupted by a major incident such as a national flu pandemic or a serious fire. This may also arise from a more mundane occurrence such as temporary loss of water in one of its key buildings that would make it impossible to operate on health and safety grounds.	Serious incident disrupting the Council's ability to continue its operations eg. flu pandemic, terrorist attack, utilities failure, power failure, flu crisis, loss of a building.	<ul style="list-style-type: none"> • Staff unable to get to work • Unable to access buildings/ IT to deliver services • Service fails / adversely affected • Vulnerable groups such as children and the elderly put at risk • Public expectations of service not met • Alternative manual arrangements need to be made • Loss of income where systems to record transactions are not operational • Increased costs where alternative IT arrangements/accommodation needed • Effect on Council 	Director of Corporate Services


No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
							Tax/reserves <ul style="list-style-type: none"> • Censure by audit/inspection if unable to sustain service and meet legal requirements 	
12	D2	D2	Loss of reputation	Medium Term Objective 10	The Council's standing is built on its sound performance. This is reflected in the external assessments such as CPA, OFSTED, etc which have concluded that it is performing strongly. Stakeholders such as residents, businesses and partners consequently have confidence in the Council to deliver but this could be undermined by any factors that would cast doubt on the Authority.	Critical external inspection, poor exam results, bullying incidents inappropriate use of public monies by Members or officers	<ul style="list-style-type: none"> • Impact on recruitment and retention of staff • Public dissatisfaction with the Council • Detrimental impact on Council reputation • Censure by audit and inspection • Adverse publicity • Impact on funding bids • Relationship with partners impaired • Impact on local economy if reputation of Council falls 	Chief Executive
13	D2	D2	IT & Information Security/Identity breach	Medium term objectives 6,7, 8,9 and 10	The Council's and contractors' IT systems hold sensitive data such as suppliers and employees bank account details which could potentially be misused or stolen if not secure.	Breach in IT security leading to loss of monies or personal data. Identity theft.	<ul style="list-style-type: none"> • Loss of personal data on employees or residents including vulnerable groups such as children • Breach in data protection legislation • Detrimental impact on Council reputation 	Director of Corporate Services/ Borough Treasurer

No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
					The Council also holds large amounts of personal data on staff, residents, vulnerable individuals such as children and adults with social care needs. It is therefore potentially a key target for potential fraudsters intent on committing identity fraud.		<ul style="list-style-type: none"> • Censure by audit and inspection • Breach in requirements for holding credit card details 	
14	C2	D2	Programme management capacity	Medium Term Objectives 1, 6 and 0	Failure to manage other major projects under £20m effectively could potentially have severe financial, reputational and service impacts.	Failure to control implementation of a major projects	<ul style="list-style-type: none"> • Project objectives not achieved • Cost overruns • Delays • Council reputation damaged • Satisfaction with Council and services decline 	Assistant Chief Executive/ Director of Corporate Services/Director of Social Care and Learning/Director of Environment Culture and Communities
15	B2	B2	Civic Hub	Medium Term Objective 1	The central Library, Easthampstead House and Seymour House are to be replaced by a new Civic Hub building.	Civic hub project is delayed due to delays on Town Centre regeneration. Failure to complete or delays on CHP	<ul style="list-style-type: none"> • Difficult decisions to be made on level of investment in maintenance of existing buildings • Staff morale affected • Council reputation damaged • Satisfaction with Council services decline • Financial penalties if Council takes responsibility for CHP and does not deliver 	Chief Executive/Director of Corporate Services


No	Score	Score Last Qtr	Short name	Link to Medium Term Objectives (see below)	Vulnerability	Trigger	Consequence	Risk Owner
							<ul style="list-style-type: none"> Significant fees invested not recouped if the combined heat and power installation is not delivered. Proposed energy savings not achieved. 	
16	D2	D2	Litigation	Medium Term Objective 10	Council may be subject to litigation from staff, residents, contractors or others.	Successful action brought against the Council resulting in financial damages and legal costs.	<ul style="list-style-type: none"> Financial impact Financial targets not achieved Need to identify savings to cover unanticipated costs Detrimental impact on Council reputation Censure by audit and inspection Adverse publicity 	Director of Corporate Services
17	D2	C1	Garth Hill	Medium Term Objective 6 and 10	The Council is undertaking a major capital project to rebuild Garth Hill school under the Building Schools for the Future Pathfinder Programme.	Project is not delivered within timescales and/or budget.	<ul style="list-style-type: none"> Council reputation damaged Satisfaction with Council services decline Loss of reputation Funding shortfall to be addressed May result in funding pressures on other capital projects 	Director of Social Care and Learning


APPENDIX B

PROGRESS ON STRATEGIC RISK ACTION PLAN AS AT 31/12/08: CHIEF EXECUTIVE


RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTION ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE	PROGRESS ON FURTHER ACTION TO ADDRESS RISK	COMMENTARY
Decision making	10	C2	<p><u>Briefings</u> Leader briefing every Monday attended by Chief Executive for major issues.</p> <p>Group meetings held to address budget planning attended by Chief Executive and Borough Treasurer.</p> <p>Briefings for opposition groups</p> <p>Chief Executive has 1 to 1 meetings with Leader</p> <p>Executive briefings</p> <p>Member briefings on key issues</p> <p><u>Reports for Decision Making</u> These include comprehensive information to support the recommendation plus comments from the Borough Treasurer and Borough Solicitor on financial and legal impact and an assessment of</p>	<p><u>PWC Revenue Optimisation Report</u> A further review on revenue optimisation has been carried out by PWC and the findings and recommendations are currently being considered.</p>	31/12/08		<p>Budget Group led by Cllr Ward is briefed regularly by Borough Treasurer.</p> <p>Awayday planned for majority group on budget gap and required actions.</p>


			<p>strategic risk.</p> <p><u>Executive Away Days</u> These provide the Executive with a forum for debating key issues for decision in greater depth.</p> <p><u>Budget process</u> Risks and priorities are key to the budget process and determining allocation of available funds.</p>				
Town Centre	1	C1	<p><u>Monitoring</u> Monthly meetings now being held with Legal and General and Schroders</p> <p>Regular reporting to Bracknell Town Centre Regeneration Committee</p> <p>Monthly meeting of Steering Group monitors situation on workstreams.</p>	<p><u>Monitoring</u> Establishing financial monitoring system with Bracknell Regeneration Partnership</p>	30/11/08	✓	Monitoring meetings held monthly and revised workstreams agreed by Bracknell Regeneration Partnership and the Council
			<p><u>Risk Management</u> Risk register currently being developed for the town centre regeneration project</p>	30/11/08	✓	Risk register drafted, internal consultation underway. Final version to be reported to Bracknell Town Centre Regeneration Committee 23/03/09	
			<p><u>Strategy</u> Regeneration Plan is currently being reviewed in the light of the economic downturn</p>	31/3/09	✓	Revised draft strategy to be reported to Bracknell regeneration Committee 23/03/09	
Loss of Reputation	10	D2	<p><u>Service Delivery</u> Effective service delivery mitigates loss of reputation through poor service. This is</p>	No further action necessary	N/A	N/A	N/A

			<p>monitored through PMRs so that the need for any remedial action is identified.</p> <p><u>Clear Communication</u> Ensuring that residents, businesses and partners are provided with accurate information from the Council to mitigate any media distortion.</p> <p>The Council has a Communications Team. Each DMT has its own dedicated Communications officers to ensure they are able to communicate Council messages clearly.</p> <p>Key messages to be issued are discussed on a monthly basis at CMT.</p>				
Civic Hub	1	B2	<p><u>Project Management</u> PRINCE 2 methodology followed for the civic centre project.</p> <p>Close monitoring through monthly project meetings for the civic centre project.</p> <p><u>Risk Management</u> Risk register in place for civic</p>	<p><u>Risk Management</u> Risk register currently being developed for the town centre regeneration project which impacts on the delivery of the civic hub project</p>	30/11/08		Risk register drafted, internal consultation underway. Final version to be reported to Bracknell Town Centre Regeneration Committee 23/03/09


			<p>hub project</p> <p>Liaison between civic hub and town centre regeneration project leads for factors impacting on each others projects</p>	<p>.</p> <p><u>Strategy</u> Regeneration Plan which will cover the Civic Hub is currently being reviewed in the light of the economic downturn.</p> <p>As part of this, consideration will be given to the level of investment in maintenance of existing buildings and/or options for alternative office space to cover delays in delivering the planned civic hub.</p>	31/3/09		Options paper being developed for Civic Hub Strategy.
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PROGRESS ON ASSISTANT CHIEF EXECUTIVE'S STRATEGIC RISK ACTION PLAN AS AT 31/12/08






RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTION ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE		
Project management	1, 6 & 10	D2	Projects with the Chief Executive's Office take the form of policy and strategy development and standard project methodology is not appropriate. Key risk is that the department is small , has vacant posts and hence has limited resources to complete projects.	<u>Older People Strategy</u> Consideration will be given to moving this across to Social Care and Learning if the department does not have the capacity to implement.	Ongoing		<i>Older people's strategy now being prepared by a consultant</i>





			<p><u>Older People Strategy</u> Consultants are assisting with this project to address shortages in internal staff resources and ensure delivery of the project.</p> <p><u>Health and Well-Being Strategy</u> Due to capacity issues within the Department, this was moved across to Environment Culture and Communities to implement.</p>	<p><u>Data Quality Action Plan</u> Additional resource is now being purchased to address resource shortages. A budget of £15,000 has now been set aside to bring in a consultant to implement the Audit Commission recommendations on data quality. This work is in the process of being tendered.</p>	31/3/09		<p><i>External support secured to prepare a Data Quality Strategy</i></p>
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PROGRESS ON BOROUGH TREASURER'S STRATEGIC RISK ACTION PLAN AS AT 31/12/08

RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTION ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE	PROGRESS ON FURTHER ACTION TO ADDRESS RISK	COMMENTARY
Funding pressures	1-10	B2	<ul style="list-style-type: none"> • Robust and proven budget setting process. • Robust and proven budget monitoring Finance Reports are produced and reported to each DMT on a monthly basis at departmental level and through to PMRs. CMT also review 	<ul style="list-style-type: none"> • Workshop on financial risks provided to Group Accountants in October 2008. Group Accountants are now identifying the potential financial risks and impacts for their budgets and evaluating these. This will support the overall budget process and the level of budget contingency. 	31/12/08		Completed


			<p>Finance Reports monthly. Variances are discussed and remedial action identified.</p> <ul style="list-style-type: none"> • Council prepared a 3 year package of savings , “ Balancing the Budget”, developed from the work of PWC. 2008/09 is the second year of that plan. • Internal Audit reviews of key financial systems including budget setting and monitoring and procurement. 	<ul style="list-style-type: none"> • PWC Revenue Optimisation Report to be reviewed to identify viable opportunities for further income generation 	31/12/08		Report to CMT on feedback from DMTs on 14 January 2009. Further reports to CMT prioritising projects for recommendation to the Executive
				Service Efficiency Programme	Ongoing		
Loss of Systems and Data	6-10	C2	<ul style="list-style-type: none"> • ICT Security Policy • ICT Security Policy for External Suppliers • Data Protection Advice for Councillors • The Essential Employee Guide to Handling Personal Information • Data Protection Privacy Statement • Guidelines for Departmental Records Management • Firewall and anti-virus software in place 	<ul style="list-style-type: none"> • Information Management Framework being developed by Assistant Borough Solicitor 	31/12/08		High level information Management Framework agreed. Meeting with AJ on 22 nd January to discuss.
				<ul style="list-style-type: none"> • Adoption of an Information Security policy that adheres to the Government Connect Code of Connection 	31/3/09		<p>Action agreed by CMT on 22nd October 08. Minute reads:</p> <p>That the adoption of an Information Security Policy that adheres to the Government’s Code of Connection in relation to Housing Benefit Services be endorsed.</p>



			<ul style="list-style-type: none"> Internal audit reviews 	<ul style="list-style-type: none"> Ensuring hardware and software systems comply with Government Connect 	31/3/09		Progressing on target except for one aspect of the 91 points which is causing delay and hence we have asked for an extension to the end of June.
				<ul style="list-style-type: none"> Consider if it would be appropriate to adopt principles of corporate security policy that follows the ISO 27001 standard for specific areas of the Council 	31/3/09		<p>Again endorsed by CMT on 22nd October 08. Minute reads</p> <p>That the adoption of a corporate Information Security policy that follows the ISO 27001 standard be endorsed</p>
				<ul style="list-style-type: none"> Setting up of an Information Management Group that via the Chief Officer: Information Services, reports to the Information, Communications and Technology Strategy Group 	30/11/08		Initial meeting with Head of Legal had to be re-arranged. Meeting now booked for 15 th January 09. Outcome to be taken to ICTSG on 20 th for agreement of Terms of Reference and outline action plan.
IT & information Security/Identity Breach	6-10	D2	<ul style="list-style-type: none"> Disaster Recovery Plans Regular back-ups of system The Essential Employee Guide to Handling Personal Information Data Protection Privacy Statement 	<ul style="list-style-type: none"> Information Management Framework being developed by Assistant Borough Solicitor 	31/12/08		High level information Management Framework agreed. Meeting with AJ on 22 nd January to discuss.
				<ul style="list-style-type: none"> Adoption of an Information Security policy that adheres to the Government Connect Code of Connection 	31/3/09		<p>Action agreed by CMT on 22nd October 08. Minute reads:</p> <p>That the adoption of an</p>




			<ul style="list-style-type: none"> • Firewall and anti-virus software in place • Internal audit reviews • Reminder sent to all staff on ICT Security Policy and need for vigilance in respect of data security 				Information Security Policy that adheres to the Government's Code of Connection in relation to Housing Benefit Services be endorsed.
				<ul style="list-style-type: none"> • Ensuring hardware and software systems comply with Government Connect 	31/3/09		Progressing on target except for one aspect of the 91 points which is causing delay and hence we have asked for an extension to the end of June.
				<ul style="list-style-type: none"> • Consider if it would be appropriate to adopt principles of corporate security policy that follows the ISO 27001 standard for specific areas of the Council 	31/3/09		Again endorsed by CMT on 22 nd October 08. Minute reads That the adoption of a corporate Information Security policy that follows the ISO 27001 standard be endorsed
				<ul style="list-style-type: none"> • Setting up of an Information Management Group that via the Chief Officer: Information Services, reports to the Information, Communications and Technology Strategy Group (ICTSG). 	30/11/09		Initial meeting with Head of Legal had to be re-arranged. Meeting now booked for 15 th January 09. Outcome to be taken to ICTSG on 20 th for agreement of Terms of Reference and outline action plan.
Project management	1,6 and 10	D2	<ul style="list-style-type: none"> • Business case produced and budget set for each project 	<ul style="list-style-type: none"> • Feedback on CPA that there should be oversight of all significant projects by 	31/12/08		The establishment of this Group is not seen a priority. Discussions will be held over the next few




			<p>and monitored by individual project boards</p> <ul style="list-style-type: none"> • Updates on significant projects provided to DMT • Effective project management based on PRINCE 2 methodology applied for significant projects • Training of key staff in project management 	<p>a coordinating group. Action going forward to identify what form this should take and establish a threshold for “significant projects”.</p>			<p>months with the Executive Member Finance and resources defining “significant projects”.</p>
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PROGRESS ON DIRECTOR OF CORPORATE SERVICES STRATEGIC RISK ACTION PLAN – 31/12/08



RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTIONS ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE	PROGRESS ON FURTHER ACTION TO ADDRESS RISK	COMMENTARY
Key people leave	1-6 and 9	D2	<ul style="list-style-type: none"> • Planned handover of responsibilities • Mitigated by sound training of subordinate staff 	None	N/A	N/A	N/A
Travel savings plan	10	B2	<ul style="list-style-type: none"> • Regular updates to staff • Staff Consultation • Union consultation • FAQs 	<ul style="list-style-type: none"> • Further promotion of Bike to Work Scheme and car share scheme • Promotion of mileage on bikes and motor 	Ongoing		Car Park Charging implemented. Effect on recruitment and retention being monitored. Consultation on Essential Car User Status now complete and implementation commenced.


				<ul style="list-style-type: none"> bikes • Clear information for potential staff during the recruitment process • Improvements to shower and locker facilities • Stronger links to green travel plan • Offer of additional paid parking • Development of alternative forms of transport 			
Business Continuity Incidents	2, 7 and 10	D2	<ul style="list-style-type: none"> • Organisational Business Continuity Plan • Gap SCL Membership • Business Continuity Plans for all directorates to ensure continuation of critical functions • Training for key officers in emergency and business continuity plan operations 	<ul style="list-style-type: none"> • Business Continuity Planning Group being established to agree, implement and develop the Council's business continuity process 	31/7/08		Business continuity plans in place for Corporate Services and Social Care and Learning. Environment, Culture and Communities plan still being drafted. Exercise planned for march 2009.
				<ul style="list-style-type: none"> • Business Continuity Plans to be updated to ensure critical functions reflect new organisational structure, adequately address the risk of flu pandemic and reflect partnership arrangements 	31/12/08		See comments above.




Civic Hub	1	B2	<ul style="list-style-type: none"> • Close monitoring through monthly project meetings for the civic centre project. • PRINCE 2 methodology followed for the civic centre project. • Monthly meetings held with BRP on the town centre regeneration project. • Risk register in place for the civic hub project clear business case for CHP options developed 	<ul style="list-style-type: none"> • Risk register being set up for town centre regeneration project 	30/11/08/12/08		Risk register drafted, internal consultation underway. Final version to be reported to Bracknell Town Centre Regeneration Committee 23/03/09
				<ul style="list-style-type: none"> • Risk register established for CHP 	31/12/08		CHP Risk Register complete.
Litigation	10	D2	<ul style="list-style-type: none"> • Corporate Complaints Procedure in place to address issues before they escalate to a formal legal action • Council has 	<ul style="list-style-type: none"> • Training in progress to raise awareness of legislation on procurement. 	31/3/09		Corporate Complaints Procedure is in place and complaints reported quarterly in PMR's. Training on procurement planned for March 2009.




			<p>insurance cover for insurable claims such as public and employer liability</p> <ul style="list-style-type: none"> • In-house legal time to provide advice and legal expertise on specific areas sought from external lawyers/Counsel. • Reports for decision making include feedback from the Borough Solicitor on legality. • Updates to raise awareness of new legislation with both officers and Members e.g. Corporate Manslaughter • Highways inspections • Health and Safety team promote awareness of health and safety issues and undertake visits to Council sites. Training courses such as on use of ladders • Clear HR policies in place and training provided to staff on their operation 	<ul style="list-style-type: none"> • Tree survey ongoing to determine health of trees and those requiring attention 	Ongoing		Trees on major highways have been surveyed, logged and plotted on GIS. Any priority action work required has been completed. Major work has been undertaken on Nine Mile Ride and Mill Lane. Outcome will be frequency of surveying and planned maintenance schedule. Results of baseline survey have been submitted to Highways Authority. Further work to quantify baseline of work and how much of a budget pressure necessary. All Leisure sites surveyed and complete.
				<ul style="list-style-type: none"> • Learning from complaints and mistakes. Process in place in Council e.g. Pars 	Ongoing		Annual report on complaints includes learning points. PMR's also adapted to do this.
				<ul style="list-style-type: none"> • Clear procurement guidance in place and training available to staff on operation 	Ongoing		Revised Standing Orders in process of being agreed. New Procurement Manual being drafted. Training planned for March 2009.



PROGRESS ON DIRECTOR OF ENVIRONMENT CULTURE AND COMMUNITIES RISK ACTION PLAN AS AT 31/12/08

RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTION ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE	PROGRESS ON FURTHER ACTION TO ADDRESS RISK	COMMENTARY
Demographic and socio economic changes	6, 7 & 9	B2	<u>Migration</u> Short term impact of migration on housing addressed through the provision of bed and breakfast accommodation.	<u>Migration</u> Revised Homelessness and Bed and Breakfast Strategy has been developed and has been approved.	21/10/08		<i>Migration unlikely to have short term impact on homelessness – If not UK residents Home office will have housing responsibility and if UK residents local connection tests under statutory guidance will mitigate any increased demand</i>
			<u>Housing</u> Planning procedures mitigate impact of unplanned housing development.	<u>Housing</u> Housing Strategy and emerging planning policies relating to housing will be considered in the Spring	31/3/09		<i>Draft Housing strategy to be considered by executive on the 10th February 2009</i> <i>The Consultation Draft of the Housing strategy will be considered by the executive in Jan. 09 with a view to the consultation taking place during Feb. / March 09.</i> <i>The emerging planning policies will be subject to delay pending the Government Decision on the Regional Spatial Strategy which is anticipated in late spring 09.</i>


			<p><u>Planning – TRL / Former RAF Staff College</u></p> <p>The Council has raised objections which resulted in planning application being turned down. The Developer's appeal will only be successful if they can set out reasons justifying the development, satisfactorily address the Council's objections to the scheme and demonstrate the scheme would not adversely affect the community.</p> <p>Should the appeal be upheld, the Developer would be expected to work with the Council to address areas of concern.</p>	31/3/09		<i>Appeal decision awaited – likely date mid summer 2009.</i>
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Demand Led Services	5, 6, 7 & 9	B2	<u>Benefits</u> Additional resource is purchased to address high levels of applicants by outsourcing processing of benefits applications.	<u>Benefits</u> Level of applications will continue to be monitored and processing outsourced where necessary.	Ongoing		<i>Small increase in applications compared to this time last year but considerable increase in change of circumstances. Outsourcing available and budgets in place if additional resource required to maintain service response and quality in the face of increased demand.</i>
			<u>Homelessness</u> Use of bed and breakfast accommodation. Loans provided for deposits to encourage take up of private accommodation.	<u>Homelessness</u> Increasing flexibility through revised Homelessness and Bed and Breakfast Strategy. Additional £300k to be released to purchase properties and lease more properties as a more cost effective alternative to bed and breakfast accommodation.	31/3/09		<i>Bed and breakfast reduction plan in place monitoring supply and demand with target to reduce use by March 2009. Additional leased properties to be used to address additional demand.</i>
			Under the revised Strategy the provision of loans is to be extended to provide loans for the first month's rent for private accommodation to further		31/12/08		<i>New policy implemented and has reduced homeless demand.</i>



				encourage take up of private accommodation.			
Town Centre	1	C1	<u>Monitoring</u> Monthly meetings now being held with Legal and General and Schroders Regular reporting to Bracknell Town Centre Regeneration Committee	<u>Monitoring</u> Establishing financial monitoring system with Bracknell Regeneration Partnership	30/11/08		<i>Monitoring meetings with BRP now established</i>
			Monthly meeting of Steering Group monitors situation on workstreams.	<u>Risk Management</u> Risk register currently being developed for the town centre regeneration project	30/11/08		<i>Risk register drafted for town centre</i>
				<u>Strategy</u> Regeneration Plan is currently being reviewed in the light of the economic downturn	31/3/09		<i>To be reviewed as part of the town centre review</i>



				<p><u>Planning</u> Developing a protocol for 3rd party applications followed by exploration of a Planning Performance Agreement (PPA) to cover BRP reserved matters applications.</p>	31/10/08		<i>BRP reluctant to conclude a PPA at the present time</i>
Income Projections	10	B2	<p><u>Fees and Charges at Leisure Centres and Downshire Golf Club</u> These are reviewed on an annual basis. Prices are set based on what the market will bear.</p> <p><u>Income Projections at Leisure Centres and Downshire Golf Club</u> Demand estimated based on previous trends and taking into account expected economic downturn.</p> <p><u>Promotions/Marketing</u> Impact of economic downturn to be mitigated by enhanced marketing and promotions where considered appropriate following</p>	<p><u>Revenue Optimisation</u> PWC have now completed their review of revenue optimisation across the Council. Action is now being taken to review the results to establish which are the valid areas for further income generation. The Director of ECC and Head of Finance are reviewing the report to interpret and analyse the findings and recommendations and will seek further</p>	31/12/08		<p><i>Report on PWC revenue optimisation review due to be made to CMT shortly.</i></p> <p><i>There are likely to be mounting pressures on income received from customers paying for Leisure Services as the general economic conditions worsen..</i></p>

		<p>cost-benefit analysis, for example 2 for 1 offers.</p> <p><u>Easthampstead Park Conference Centre</u> Weddings are arranged a long time ahead. Hence wedding functions and income from weddings is committed a long time in advance so weddings are already booked for the next year. Marketing and promotion is undertaken to maximise future income.</p> <p>Conference income is declining due to the fall in the number of delegates attending.</p>	<p>clarification from PWC where necessary.</p>			
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			<p>This is being mitigated by reducing costs. Maximisation of income is sought through catering and bar sales to mitigate fall in delegates.</p> <p><u>Planning Applications/Land Searches</u> These have fallen. Given that the Council cannot increase volume of applications and searches, the reduction in income will be mitigated by reducing costs.</p>	<p><u>Planning Applications/Land Searches</u> Should surplus capacity arise, would consider option of offering planning and land search services to other Councils</p>	<p>Ongoing</p>	<p></p>	<p><i>Currently the number of planning applications has dropped back to 06.07 levels and year close income is projected to be above budget. One post within planning has been deleted from establishment (with effect from 01/04/09) but vacancies remain in planning policy and there is no surplus capacity at the present time.</i></p> <p><i>Land charge income however has falling significantly below budget and a budget pressure</i></p>
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				<p>in the area who may be under resourced.</p>			<p><i>reported. Several staff have been diverted to the planning microfiche project and are currently funded from the Planning Delivery Grant. Further review of options for the Land Charge service will be considered in quarter 4.</i></p>
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Project Management	1, 6 & 10	D2	<p><u>Project Management</u> Project managers are appointed with responsibility for delivery and project boards established for individual projects with responsibility for overseeing project delivery, for example restoration of South Hill Park Grounds, Choice Based Lettings</p>	<p><u>South Hill Park Grounds</u> Lottery funding has been provided for this. Heritage Lottery Fund requires completion of returns on delivery against plan in accordance with the conditions of the funding.</p>	Ongoing		<p><i>Next major milestone in this large and complex project is submission of the detailed bid to the Heritage Lottery Fund by the end of February. There is significant work still to complete but the project is currently on track.</i></p>
			<p><u>Project Methodology</u> Council project methodology principles applied to all significant projects.</p> <p><u>Project Monitoring</u> Project progress in monitored in accordance with Council project methodology.</p> <p>Updates on significant variances on major projects are included in quarterly Performance Monitoring Reports which are presented to the Overview and Scrutiny Panel by the</p>	<p><u>Choice Based Lettings</u> This is supported by a Member Steering group who have specified that a project specific risk matrix be developed and monitored</p>	Dec 2008 and ongoing		<p><i>The CBL project is progressing with two potential go live dates based on success of procurement routes.</i></p>


			<p>Director of ECC and also distributed to the Chief Executive and all Executive Members.</p> <p>Progress on the Capital Plan which cover capital projects is discussed at ECC DMT, for example the Choice Based Lettings Project.</p>				
Car Parks	1, 2 & 3	C2	<p><u>Income</u> Parking fees cannot be reduced if costs are to be covered. Maximisation of car park income sought through marketing and promotion and by ensuring the car park is attractive to user ie well lit, clean , etc.</p>	<p><u>Car Park Strategy</u> A Strategy is being developed which will consider how the Council manages it car parks, equipment replacement, etc</p>	31/3/09		<p><i>The needs will be addressed in how we retender the Contract commencing March 2009. The tender document will reflect all such needs. A formal Strategy document is however not being produced</i></p>
			<p><u>Equipment</u> Individual instances of equipment failure are covered by the use of staff to collect monies, check tickets and operate barriers.</p>	<p><u>Equipment Failure</u> Need to explore with Car park operator how we could resource equipment failure at multiple locations.</p>	31/03/09		<p><i>The short term need is being dealt with as part of the day to day management. Car park management is to be retendered in 2009 and this will include for new equipment. Budget provsion has been made for 2010/11</i></p>


PROGRESS ON STRATEGIC RISK ACTION PLAN DIRECTOR OF SOCIAL CARE AND LEARNING AS AT 31/12/08



RISK SHORT NAME	LINK TO MTOS	RISK SCORE	ACTION ALREADY IN PLACE	FURTHER ACTION TO ADDRESS RISK	TARGET DATE	PROGRESS ON FURTHER ACTION TO ADDRESS RISK	COMMENTARY
Demographic and socio economic changes	6, 7 & 9	B2	<u>Housing Development</u> <ul style="list-style-type: none"> As a result of the economic downturn construction work on the major housing developments has been postponed. It is therefore unlikely that this risk will have any impact in the near term, however we will continue to monitor the situation 	<u>Impact of Socio-Economic Change on Schools</u> <ul style="list-style-type: none"> Expect an increase in number of children eligible for free school meals. Results of next Census awaited to confirm this. 	31/1/2009		Census data available in late January 2009. When further analysis will be undertaken.
			<u>Effect of Migration on Schools</u> In response to this Education have <ul style="list-style-type: none"> increased support for EAL (English as an additional language) increased resources in community languages Plans have been developed with schools to ensure support is timely, focussed 	<ul style="list-style-type: none"> Anticipate an increase in schools numbers as fewer parents opt for private education. Level of admissions to be monitored. 	Ongoing		Monitoring is ongoing with no major variance to be reported.



			<p>and effective in relation to ethnic groups and EAL children in schools. This is monitored as part of the regular school census.</p> <ul style="list-style-type: none">• Demographic trends for the 0-19 age range in SC& L are monitored via regular data collections and statistical analysis. 5-year forecasts of pupil numbers for all schools in the Borough are published in the annual School Places Plan and any trends are highlighted in the commentary.• Good communication channels have been developed with schools who raise awareness of additional needs arising from demographic change very rapidly				
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Demand led services	5, 6, 7 & 9	B2	<p><u>Children's Services</u> There is corporate commitment subject to satisfactory business case for CMT/the Executive that additional resources would be made available for unplanned demands for children's services.</p> <p><u>High Cost of Children's Placements (LAC & SEN)</u></p> <ul style="list-style-type: none"> • Close budget monitoring • Joint procurement of placements with neighbouring authorities to obtain placements needed and increase value for money • Membership of Herts arrangement for managing 	<p><u>Children's Placements (LAC & SEN)</u></p> <ul style="list-style-type: none"> • Contracts Officer being recruited to monitor contracts and ensure placement costs are accurate 	31/3/09		<p>External appointment of Contracts Officer was not successful. Internal staff changes & appointments have been undertaken. Further training & development required and is in place.</p> <p>Heads of Service are actively managing the use of placements which has contained costs during the first two quarters of the financial year.</p>
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		<p>fee increases</p> <p><u>Older People</u></p> <ul style="list-style-type: none"> • Purchasing Plan for Older People's Health and Social Care sets out the assumptions and approach to delivery of services. This includes estimates of population ages through to 2025 based on ages of current population to determine demand for services. This includes projections of numbers of people requiring residential care places. extra –care housing, support at home,. etc. <p><u>People with Disabilities</u></p>	<p><u>Older People</u></p> <ul style="list-style-type: none"> • Projections in Purchasing Plan for Older People to be updated annually 	31/3/09		<p>This will be achieved by 31/3 using 08/09 figures. Indications to date are an increase in OP ongoing support.</p>
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		<ul style="list-style-type: none"> Transition Policy for People with Disabilities covers policy for young people with learning disabilities, disabilities or complex needs as they approach adulthood and responsibility moves from Children's Services to Adult Community care Services. Impact of transition on budgets considered at DMT as part of budget pressures discussions <p><u>Packages of Care</u></p> <ul style="list-style-type: none"> Continued close monitoring of the revenue budget and projected costs around costed packages of care will remain in place. Early warning in relation to changes in demand and projected spend will be highlighted as soon as they become apparent. 	<p><u>Mental Health</u></p> <p>Economic downturn could impact on numbers of residents with mental health issues and increase level of domestic abuse. Demand levels are being monitored.</p>	Ongoing		<p>Monitoring ongoing.</p> <p>Undertaken for 09/10 budget build.</p> <p>This is being done and reported in budget variations.</p>
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Project management	1, 6 & 10	D2	<p><u>Project Management</u></p> <ul style="list-style-type: none"> Project managers are appointed with responsibility for delivery and project boards established for individual projects with responsibility for overseeing project delivery. <p><u>Project Methodology</u></p> <ul style="list-style-type: none"> Council project methodology principles applied to all significant projects. <p><u>Project Monitoring</u></p> <ul style="list-style-type: none"> Project progress is monitored in accordance with Council project methodology. Project Boards for major projects monitor progress on project delivery Updates on significant variances on major projects are included in quarterly Performance Monitoring Reports which are presented to the Overview and Scrutiny Panel by the Director of SCL and also distributed to the Chief Executive and all 	<p><u>Programme Manager</u></p> <p>Given the large number of projects that the Directorate has ongoing and the fact that central government have brought forward a number of capital investment schemes, consideration is being given to employing a Programme Manager to oversee delivery of the capital programme in Social Care and Learning.</p>	31/1/09		<p>Advertisements are placed for a Project Manager to oversee the Primary Capital Programme.</p> <p>Programme board is being constituted to manage the Department's Capital Programme.</p>
			<p><u>Primary Capital Strategy (rebuild of primary schools)</u></p> <p>DCFS have agreed the Capital Programme and a plan for this is being developed to prepare for 1st April start for the first phase of the project...</p>	31/1/09		<p>The PCP has been approved and highly commended by the DCSF.</p>	

			<p>Executive Members.</p> <ul style="list-style-type: none"> Progress on the Capital Plan which covers capital projects is discussed at SCL DMT. <p><u>Brakenhale</u></p> <ul style="list-style-type: none"> Land sale receipts to fund the project have been significantly lower than anticipated. This has been mitigated by putting school refurbishment plans on hold. 	<p><u>Children's Centres</u></p> <p>Deadlines for completion are now being brought forward by central government. Action plan being developed to address this.</p>	31/1/09		Action Plan completed.
Garth Hill	6 & 10	C1	<p><u>Project Management</u></p> <ul style="list-style-type: none"> Project managers, Faber Maunsell appointed with responsibility for delivery. and project board established with responsibility for overseeing project delivery. <p><u>Project Methodology</u></p> <ul style="list-style-type: none"> Council project methodology principles applied. <p><u>Risk Management</u></p> <ul style="list-style-type: none"> Risk register in place prepared and maintained. Risk workshops to identify risks held attended by all key stakeholders (the school, governors, Procurement, Legal, Accountants). 	<p><u>Economic Downturn</u></p> <ul style="list-style-type: none"> A further risk workshop for the Garth Hill project is to be held to address escalating risk due to the economic downturn. In particular this will focus on construction risks and financial risk arising from potential reduced land sale receipts. 	31/1/09		Risk Workshop was held on 22 nd Dec 2008.