

Notice of Meeting

Resource Management Working Group

**Tuesday, 27th September, 2011 at 6.30
pm**

**in Committee Room 1 Council Offices
Market Street Newbury**

Date of despatch of Agenda: 19 September 2011

For further information about this Agenda, or to inspect any background documents referred to in Part I reports, please contact David Baker - Tel: (01635) 519083 - Email: dbaker@westberks.gov.uk on (01635) 503042

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Agenda - Resource Management Working Group to be held on Tuesday, 27 September 2011 (continued)

To: Councillors Jeff Beck, Roger Croft, Richard Crumly, David Holtby (Vice-Chairman), David Rendel, Andrew Rowles, Tony Vickers (Chairman) and Laszlo Zverko

Substitutes: Councillors David Allen, John Horton, Alan Macro and Garth Simpson

Agenda

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1 Apologies <i>Purpose: To receive apologies for inability to attend the meeting (if any).</i>	
2 Minutes <i>Purpose: To approve as a correct record the Minutes of the meeting of this Working Group held on 26th July 2011.</i>	1 - 6
3 Declarations of Interest <i>Purpose: To receive any Declarations of Interest from Members.</i>	
4 Matters arising from the previous Resource Management Working Group <i>Purpose: To receive an update on any actions and matters arising from previous Resource Management Working Group meetings.</i>	7 - 10
5 Quarter 1 Establishment Report <i>Purpose: To inform Members of the Quarter One Establishment report of the Council.</i>	11 - 24
6 Legal and Electoral Services Budget <i>Purpose: To receive a report on the budget pressures within the Legal and Electoral Service.</i>	25 - 28
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Agenda - Resource Management Working Group to be held on Tuesday, 27 September 2011 (continued)

- 9 **Work Programme** 75 - 78
Purpose: To review the work programme of the Resource Management Working Group. To agree and prioritise any changes required to the work programme.
- 10 **Next Meeting Date**
Purpose: To confirm the next meeting of the Resource Management Working Group will be held on Tuesday 8th November 2012.

Andy Day
Head of Policy and Communication

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Note: These Minutes will remain DRAFT until approved at the next meeting of the Committee

RESOURCE MANAGEMENT WORKING GROUP

**MINUTES OF THE MEETING HELD ON
TUESDAY, 26 JULY 2011**

Councillors Present: Roger Croft, Richard Crumly, David Holtby (Vice-Chairman), John Horton (Substitute) (In place of Andrew Rowles), David Rendel, Garth Simpson (Substitute) (In place of Jeff Beck), Tony Vickers (Chairman) and Laszlo Zverko

Also Present: Andy Green (Maintenance Manager - Property Services) and Stuart Powling (GIS Development Manager) and Robert Alexander (Policy Officer)

Apologies for inability to attend the meeting: Councillor Jeff Beck and Councillor Andrew Rowles

PART I

1. Apologies

Apologies for absence were received on behalf of Councillor Andrew Rowles, and Councillor Jeff Beck. Councillor John Horton substituted for Councillor Rowles and Councillor Garth Simpson substituted for Councillor Beck.

2. Declarations of Interest

There were no declarations of interest received.

3. Actions from Resource Management Select Committee

The Working Group considered a report (Agenda Item 3) which provided information, and updates on actions arising from the Resource Management Select Committee as well as from the minutes for the last meeting which had been disbanded following the end of the 2010/11 Financial Year.

Councillor David Rendel raised a problem with the wording relating to point 2.4 (4), page 3 of the agenda. Councillor Rendel mentioned that it said "residents are simply not using local bus services to the extent that was envisaged". Councillor Rendel suggested that certain areas of the district did not have access to bus travel, and this was why the numbers were perhaps lower. Councillor Rendel also informed the Working Group that 4500 residents had opted not to receive travel concessions.

Councillor Richard Crumly joined the meeting at 6:38pm

Councillor Rendel asked when it was known that the Economic Downturn provision would not fully fund staff redundancy costs. It was agreed that officers would be asked to provide this information outside of the meeting.

Councillor Tony Vickers brought Members' attention to the gold papers which indicated Part II reports. Councillor Vickers informed the Working Group that the gold papers referred to matters relating to Parkway and a parking subsidy, which was why they were gold. Councillor Vickers said that he had no intention of discussing the gold papers as he had spoken to Councillor Brian Bedwell about holding a discussion at the September Overview and Scrutiny Management Commission relating to the Parkway development.

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Councillor Rendel said that the questions he had relating to the papers were not contained in the confidential papers. Councillor Rendel said that he did not think pages 24-27 should be on gold paper as they related to information that was already in the public domain.

Councillor Rendel requested that further information be provided relating to the details on page 24 which outlined the number of Season Tickets issued in 2009/10. Councillor Rendel wanted to know how many were quarterly and how many were annual. Councillor Rendel also asked if information could be supplied concerning the total number of Charge Certificates issued.

Councillor Rendel's second question related to the higher and lower level of penalty charges. Councillor Rendel said that on page 26 it detailed the number of higher and lower level contraventions. Councillor Rendel informed the working group that the total of these was £316,000 however the table on page 27 only showed that £260,000 had been received from parking charge notices. Councillor Rendel therefore asked where the missing £50,000 had gone to. Councillor Rendel did admit that he was assuming that page 27 related to the same financial year 2009/10.

Councillor Rendel's final question was why was such a large amount had been budgeted for off street and on street parking, when the return was not anywhere near the target. Councillor Rendel mentioned that off street parking had gone from £300,000 (budget) down to £100,000 (return).

Councillor Richard Crumly said that he was of the understanding that charging income could drop because people were being more careful, as these were penalty charge notices. Councillor David Holtby echoed this, and said that before the Civil Enforcement Officers (CEOs) were appointed residents were less concerned about adhering to parking restrictions, however now that the CEOs were out and visibly on the street, people were being more careful. Councillor Rendel responded that in his opinion this might be true for on street parking, but not for off street.

Councillor Roger Croft said that to resolve the discussion, it might be best to see the previous year's budgets for penalty notices, and the forecast and assumptions that could be made.

Councillor David Holtby said it was noticeable that in Hungerford, the visibility of CEOs was having a positive impact on parking behaviour. Councillor Vickers said it could be worthwhile for the Working Group to examine changes in behaviour following the introduction of the CEOs.

Councillor Holtby asked why page 8 of the agenda mentioned that 2% of parking provision should be allocated for disabled parking, however on page 24 it appeared to suggest that there were in fact 4% of spaces available for disabled badge holders.

Councillor John Horton raised a question relating to the Maintenance Provision for West Street and West Point House; he questioned whether the £200,000 for installation of LED lights would give a big enough return. Andy Green responded that LED lights were very efficient, and that grants were available for their installation. Andy Green projected that the savings would be around 30%, and informed the Working Group that currently a test was underway at John O'Gaunts School. Councillor David Rendel mentioned that the current expenditure on electricity was £39,000 and said that it was a great idea, but Members should not expect huge savings straight away. Andy Green agreed, but

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mentioned a grant and loan could be received from the Cleaner Greener Group which could off set some of the cost.

Resolved that:

1. Robert Alexander would contact relevant officers regarding questions raised in Agenda Item 3, and would provide answers to Members before the next meeting, as well as providing a summary report.

4. Report on Geographical Information Systems (GIS)

The Working Group considered a report (Agenda Item 4) outlining Geographical Information Systems (GIS) and how the Council used such information.

Councillor Tony Vickers informed the Working Group that he felt information was a valuable resource, and therefore thought it was key for a report on GIS to be brought to the Resource Management Working Group.

Stuart Powling introduced Members to GIS, and explained that there were currently only two people in the Council working on GIS specifically. Stuart Powling explained that GIS was the visual tool, compared to the LLPG (Local Land and Property Gazetteer) which was the linking tool. Stuart Powling notified Members of the potential uses of GIS, by stating it was used in a variety of services in the Council such as land charges, democratic services, planning, housing and waste. Stuart Powling stated that the merits of it being used in the planning process was pivotal, as it saved a large amount of time. For example it could tell you if an application was in a Conservation Area. Councillor Vickers informed the Working Group that page 30 showed a list of applications that GIS was being used for.

Councillor Roger Croft said he thought GIS was a magnificent idea, and questioned how the outputs were promoted to services and clients. Councillor Croft said his only concern was that promotion to clients did not appear to be taking place. Stuart Powling responded that currently the website was undergoing a revamp. Once this work was completed he hoped to extend the number of services using the product. Promotion to external services would be undertaken after that. Stuart Powling also mentioned that the increase of metadata for the item would be favourable, so that it appeared higher on the Google search engine.

Councillor Croft said that it was important to see how people used this kind of service and therefore how to get more people using it. Stuart Powling commented there were already 15,000 people a month using it.

Councillor David Rendel said that he felt GIS was a very useful application, and hoped that Officers were aware of what was going on elsewhere at other Local Authorities. Councillor Rendel said it was important to avoid duplication. Councillor Vickers also felt it was important to avoid duplication and further asked how the Officers kept up to date with other local authorities. Stuart Powling responded that there were meetings that were held to review other local authorities and other ICT companies' products and applications. Stuart Powling mentioned that two years ago the Council were commended on their ICT application. He further mentioned that there were constant reviews underway for best practice and other data so that there was no duplication.

Councillor David Holtby asked whether the Council was maximising its income with the GIS service. Stuart Powling responded that unfortunately this was very hard to do, and that charging estate agents to use the service had been considered, however, it had

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proved to be difficult. Councillor Vickers mentioned that for every person that found their Council information out on the computer, rather than speaking to an officer, could save the Council £4.50.

Councillor Holtby then asked how West Berkshire compared to other Berkshire unitaries. Stuart Powling responded that West Berkshire was better than the other Local Authorities with a number of ICT applications, such as GIS and Uniform. Councillor Holtby asked if there was anyway that a shared service might be possible. Stuart Powling responded that there was merit in shared service for GIS, but there were also problems that it was engrained within other applications. Councillor Vickers noted that there was a sense GIS might be a candidate with other authorities for shared services.

Councillor Holtby's final question related to paragraph 7.1 of the report, and asked what would be top of the "wish list". Stuart Powling said that it was only a list of possible priorities, but mentioned that "Better exploitation of the NLPG" was perhaps the most important, closely followed by "Better management of assets" to help officers in their search for what was owned by West Berkshire Council.

Councillor John Horton questioned the table under paragraph 2.1 detailing the services areas which the GIS system helped out with. Councillor Horton questioned whether there was duplication when creating crime and disorder data with the National Crime Mapping database launched recently. Stuart Powling responded that the Safer Communities Partnership was multi-agency, and therefore incorporated other information, not just crime and disorder information.

Councillor Vickers asked what was meant in paragraph 6.1 when it stated that "supporting other applications in ICT..." Stuart Powling responded that there was only a group of 10 officers supporting all applications. Councillor Vickers said that this appeared to support the idea of entering into shared services.

Councillor Vickers asked if Members would be interested in seeing the GIS Strategy detailed in paragraph 5. All Members agreed that they would.

Resolved that:

1. The Report be noted
2. The GIS Strategy would come to the RMWG after it had been to the ICT Strategy Board.

5. Establishment Report for Quarter Four 2010/11

The Working Group considered a report (agenda item 5) on the changes in the establishment.

Councillor Tony Vickers informed Members that this was the same report that had gone to Executive the previous week.

Councillor David Rendel said that he had asked why the turnover of voluntary leavers was higher, and Robert O'Reilly had replied that this was because of the state of the economy improving. However, Councillor Rendel questioned the difference in growth rate, and requested that this information be provided to him.

Councillor Vickers proposed that the Establishment Report was brought before the Working Group every quarter. All Members agreed.

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Councillor Rendel requested that Robert O'Reilly provided information relating to why it appeared to take 20 months to recruit into a vacant post. This information was available in paragraph 6. Councillor Garth Simpson also felt this was a considerable amount of time. Councillor Rendel suggested if a post had been vacant for 20 months, then there was a possibility there was no need or requirement to fill the post. Councillor Vickers asked whether information could be gathered on the time scales of the average person leaving and a new person being recruited.

Resolved that:

1. The difference in financial growth be gathered prior to the next meeting and circulated to members.
2. The quarter 1, 2, 3 and 4 reports will be brought to Resource Management Working Group.
3. Robert Alexander to find out why the time between a Member of staff leaving, and recruitment to that post was taking (on average) 20 months.

6. Work Programme

The Working Group considered the Work Programme (agenda item 6). Members were asked for suggestions for items to be included on the Work Programme.

Councillor David Rendel proposed the following items:

- Timelord
- Energy Saving
- Individual Items on the Risk Register (such as Business Continuity)
- Medium Term Financial Strategy

Councillor Tony Vickers responded they were all good ideas; however he mentioned that they would have to be approved by the Overview Scrutiny Management Commission.

Councillor Laszlo Zverko requested that the procedure for blue badge holders was examined, including the criteria and rules of use.

Councillor Vickers suggested the Legal and Electoral Service Budget (which was already on the work programme) should be considered at the next meeting. Councillor Vickers also suggested that the Highway Asset Management Plan (which was present on the work programme), should also be looked at before the end of the year.

7. Future Meeting Dates

The next meeting was decided for Tuesday 27 September 2011.

(The meeting commenced at 6.30 pm and closed at 8.40 pm)

CHAIRMAN

Date of Signature

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Title of Report:	Matters Arising from previous meeting of the Resource Management Working Group
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To receive an update on matters arising from the previous Resource Management Working Group.

Recommended Action: To note the update.

Key background documentation: Minutes of the Resource Management Working Group held on 26 July 2011.

Resource Management Working Group Chairman	
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Executive Report

1. Introduction

- 1.1 This report provides the information requested at the previous meeting of the Resource Management Working Group. The full details are contained within the minutes from last time.

2. Item 3 – Actions from previous Minutes

Economic Downturn Provision

- 2.1 It was queried when the economic downturn provision was not going to full fund staff redundancies.
- 2.2 Joseph Holmes responded that: *“In January I was certainly hopeful that the EDP (Economic Downturn Provision) would be broadly sufficient to cover over exit costs. However, by later in the process into February and March it was clear that it wouldn't be sufficient. For the 2011-12 financial year the Council has been successful in an application for capitalising statutory redundancy costs up to £1.4m.”*

Car Park Budgets

- 2.3 Clarity was sought on a number of points raised in the car park budgets section. The following information is the response from Mark Edwards, Head of Highways and Transport.
- (1) The number of season tickets issued were; 181 Annually, 12 Half-Annually and 48 Quarterly.
 - (2) A total of 625 Charge Certificates were issued.
 - (3) In response to a question related to higher and lower contraventions and potential missing monies, Mark Edwards supplied the following information: “In 2009/10 a total of 10,929 PCNs were issued and of this total 4,358 were at the higher level with a full value of £70 = £305,060; and 6,571 were at the lower level with a full value of £50 = £328,550. However, where payment was made within 14 days the value reduced by 50% to £25.00 and £35.00 respectively. The combined full value of the PCNs issued was £633,310. However we did not receive this face value amount because some payments were at 50% (paid within 14 days), some were at full value and some were at the surcharge rate of 150%. It would appear that the figure of £316,00 was made by applying a 50% reduction on the total value of all PCNs (ie £633,310). The actual income received totalled £260,182 and this was from payments made at full value; discount value (50%); and payments from Charge Certificates with the 50% surcharge added. Basically a substantial number of people pay at the discount rate.”
 - (4) Income budgets in 2009/10, the first year of CPE, were based on the projections made in the consultant's report, which proved to be rather

over optimistic. Budgets in 2010/11 have been tempered by the experience gained in the first year of operation. Also Parking has not been immune to the economic recession. This is true of the whole country - not just WBC.

- (5) Following a question asking to see previous years budgets for penalty charge notices, Mark Edwards responded it would not be possible as 2009/10 was the first year CPE was operated.
- (6) In the financial year 2008/09; 2,287 ECNs were issued (pre CPE) and in the 2009/10; 10,929 PCNs were issued.
- (7) Finally, Mark Edwards explained that 2% of parking spaces should be allocated to blue badge holders. However, West Berkshire was exceeding this amount. West Berkshire offered 4.45% parking for blue badge holders, there was 5.44% in Newbury alone, which would rise to 6.17% once Parkway was open.

3. Item 5 – Establishment Report

- 3.1 The information requested for this item will be discussed in the meeting under Item 5, Quarter 1 Establishment Report.

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Agenda Item 5

Title of Report:	Establishment Report Quarter 1 2011/12
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To receive a report on the changes to the Council's Establishment over the first quarter of 2011/12.

Recommended Action: To note the report.

Resource Management Working Group Chairman	
Name & Telephone No.:	Councillor Tony Vickers – Tel (01635) 230046
E-mail Address:	tvickers@westberks.gov.uk
Contact Officer Details	
Name:	David Baker
Job Title:	Policy Officer
Tel. No.:	01635 519083
E-mail Address:	dbaker@westberks.gov.uk

Supporting Information

1. Introduction

- 1.1 This report sets out the 2011/12 Quarter 1 Establishment Report. The report and appendices are attached and show establishment trends; trends in funding for established posts by Directorate.

Appendices

Appendix A – Establishment Report – Quarter 1 2011/12

Appendix 1 – Trends Quarter 1 2011/12

Appendix 2 – Funding Quarter 1 2011/12

Title of Report:	Establishment Report Quarter One 2011/12
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Purpose of Report: To provide a summary report on changes to the Council's Establishment over the first quarter of 2011/12.

Key background documentation: HR Resourcelink Database
Q4 Establishment Report 2009/10
Q1 Establishment Report 2010/11
Q2 Establishment Report 2010/11
Q3 Establishment Report 2010/11
Q4 Establishment Report 2010/11
Agresso data
Payroll data

Summary collated by	
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Summary

1. Introduction

1.1 This report summarises the changes to the WBC Establishment over quarter one 2011/12.

2. The Total Establishment

2.1 During quarter one 2011/12 the total WBC Establishment decreased by 52.81 FTE. The total Establishment now totals 1576.07 FTE.

3. How Posts are Funded

3.1 There have been many changes to funding this quarter. This is because we are in a new financial year. The changes to revenue streams, the removal of some ring-fencing and external grants have affected how posts are funded. These changes are reflected in this report.

4. WBC Funded Establishment

4.1 The WBC funded Establishment increased by 75.07 in quarter one. The total FTE which is WBC funded now totals 1493.47

5. External and Joint Funded Establishment

5.1 The external and joint funded Establishment decreased by 127.88 FTE in quarter three. The total FTE which is externally and jointly funded now totals 82.60 FTE.

6. Proposal

6.1 None – for information only

7. Conclusions

7.1 The total Establishment has decreased over the quarter.

7.2 The total Establishment at the end of quarter one 2011/12 is 1576.07 FTE, a decrease of 52.81 FTE when compared to the total of 1628.88 FTE at the end of quarter four 2010/11.

7.3 The amount of vacant FTE has increased to 179.45 FTE. At the end of quarter four there was 166.72 vacant FTE.

7.4 The overall vacancy rate was 11.39%, up from 10.82% at the end of quarter four. For comparison the vacancy rate at quarter one 2010/11 was 9.50%.

7.5 The rolling annual turnover rate (which includes quarter one) was 18.28%. For comparison the rate at quarter one 2010/11 was 9.06%.

7.6 The voluntary turnover rate at the end of quarter one 2011/12 (which excludes redundancies) was 7.48%.

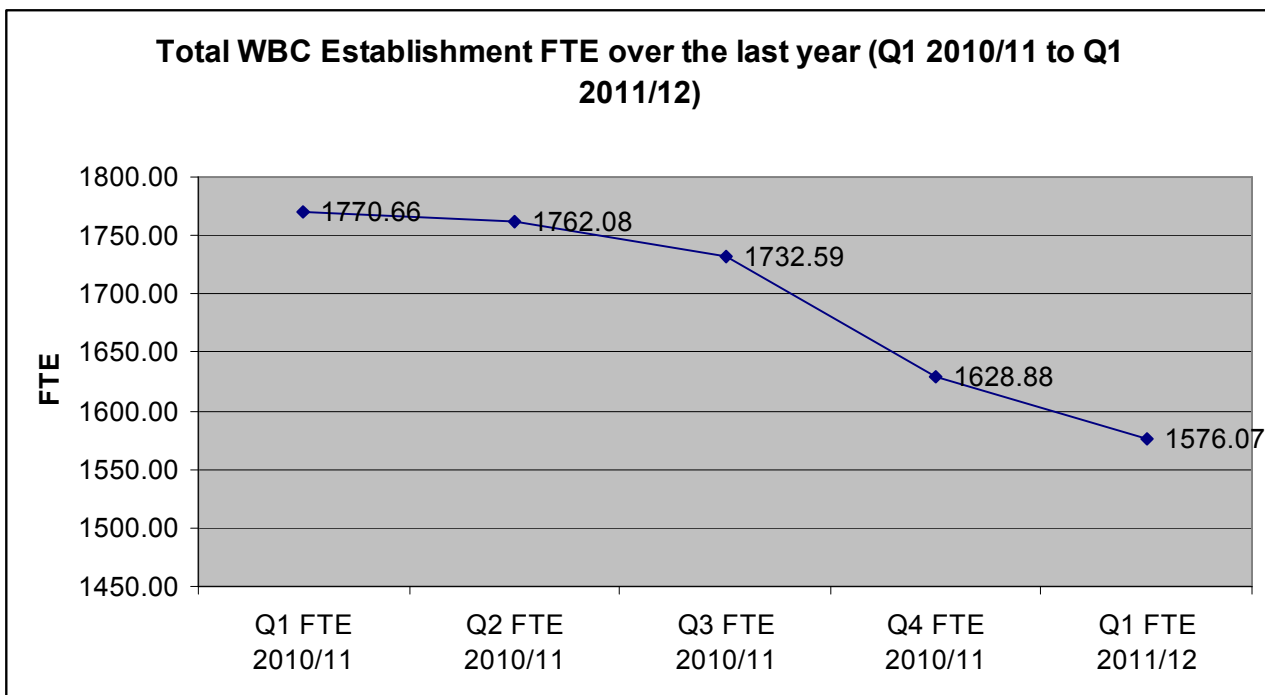
Report

1. Introduction

- 1.1 The data used to complete this report is taken from the HR/Payroll system Resourcelink and previous quarterly Establishment reports.
- 1.2 This report summarises the changes to the WBC Establishment over quarter one 2011/12.

2. The Total Establishment

- 2.1 During quarter one 2011/12 the total WBC Establishment decreased by 52.81 FTE.
- 2.2 The total Establishment now totals 1576.07 FTE.
- 2.3 The graph below shows how the Establishment has decreased over the past year; a reduction of 10.99% or 194.60 FTE.



- 2.4 The total change to the whole Establishment over the past year can be seen in the table below.

The Total Establishment						
Q1 FTE 2010/11	Q2 FTE 2010/11	Q3 FTE 2010/11	Q4 FTE 2010/11	Q1 FTE 2011/12	Total difference over the year	% Difference over Year
1770.66	1762.08	1732.59	1628.88	1576.07	-194.60	-10.99

2.5 The quarterly changes (quarter four 2010/11 compared to quarter one 2011/12) are made up as follows:

Chief Executive	+ 7.12 FTE
Children and Young People	- 6.06 FTE
Community Services	- 59.93 FTE
Environment	+ 6.05 FTE

2.6 A summary of total WBC Establishment FTE by service is shown at appendix one.

3. How posts are funded

3.1 This quarter's report commences on 01/04/11, the start of a new budget year. The way posts are recorded as funded is reviewed annually by HR and Finance to bring the HR database in line with the salary budgets.

3.2 There have been many changes this financial year, following changes to revenue streams and the removal of some ring-fencing. These changes are reflected in this report as the way posts are funded has changed.

3.3 Many external grants have been removed and have now been put into non ring-fenced funds. For example, the Early Intervention Grant which funds many posts in the Education Service is no longer ring-fenced and now sits in the Revenue fund, rather than being classed as external funding. There are a few external grants remaining, such as the Devolved Schools Grant (DSG), LAA funding, DAAT funding, and the Housing Benefit and Council Tax Benefit Admin Subsidy. Schools Buy-Back which funds and jointly funds some posts is also classed as being an external funding source, as is the NHS.

3.4 Appendix two shows in detail how posts at WBC are funded..

4. WBC Funded Establishment

4.1 The WBC funded Establishment increased by 75.07 FTE in quarter three. This is due to the way posts are funded changing in the new financial year; this increase is not new posts being added to the Establishment.

4.2 The total FTE which is WBC funded now totals 1493.47 FTE.

4.3 The total change in WBC funded Establishment over the past year can be seen in the table below.

WBC Funded Establishment						
Q1 FTE 2010/11	Q2 FTE 2010/11	Q3 FTE 2010/11	Q4 FTE 2010/11	Q1 FTE 2011/12	Total difference over the year	% Difference over Year
1481.69	1506.92	1492.27	1418.39	1493.47	11.78	0.80

4.4 The change in WBC funded Establishment by directorate over the past year can be seen in the table below.

	WBC Funded						
	Q1 FTE 2010/11	Q2 FTE 2010/11	Q3 FTE 2010/11	Q4 FTE 2010/11	Q1 FTE 2011/12	Total difference over the year	% Difference over Year
Chief Executive	280.03	279.72	278.54	243.49	254.26	-25.77	-9.20
Children and Young People	366.10	364.22	357.22	335.98	414.62	48.52	13.25
Community Services	546.98	573.91	568.43	559.49	512.43	-34.55	-6.32
Environment	288.58	289.08	288.08	279.44	312.16	23.58	8.17
Total	1481.69	1506.92	1492.27	1418.39	1493.47	11.78	0.80

4.5 The table below shows how the Establishment has changed by service area comparing quarters two, three and four 2010/11 with quarter one 2011/12. Some increases in service level FTE in quarter one are the result of transfers of staff from other services with effect from 1st April 2011. A summary of funding by directorate can be seen at appendix two.

	WBC Funded Establishment			
	Q2 2010/11 FTE	Q3 2010/11 FTE	Q4 2010/11 FTE	Q1 2011/12 FTE
CEO & Support	2.42	2.42	2.42	53.59
Benefits & Exchequer	56.59	58.59	53.59	2.42
Finance	57.69	56.01	53.42	57.23
Human Resources	28.32	28.32	20.79	27.44
ICT	53.76	52.76	49.76	52.76
Legal & Electoral Services	27.93	27.93	26.89	26.54
Policy & Communication	48.50	48.50	32.62	34.28
Special Projects	4.50	4.00	4.00	0.00
Total Chief Executive	279.72	278.54	243.49	254.26
Children's Services	130.93	129.39	126.67	154.58
Youth Services and Commissioning	64.23	61.36	48.01	58.80
Customer Services	38.63	38.63	35.99	35.99
Education Services	128.43	125.84	123.31	163.25
Director & Support	2.00	2.00	2.00	2.00
Total Children and Young People	364.22	357.22	335.98	414.62
Adult Social Care	428.92	428.93	425.80	371.00
Cultural Services	80.65	77.17	72.99	76.03
Social Care Commissioning and Housing	61.34	59.34	58.70	62.39
System Transformation	1.00	1.00	0.00	0.00
Director & Support	2.00	2.00	2.00	3.00
Total Community Services	573.91	568.43	559.49	512.43
Property and Public Protection	89.61	89.61	85.76	91.56
Highways & Transport	107.99	106.99	104.90	113.96
Planning and Countryside	89.48	89.48	86.77	104.64
Director Support	2.00	2.00	2.00	2.00
Total Environment	289.08	288.08	279.44	312.16
GRAND TOTALS	1,506.92	1,492.27	1,418.39	1,493.47

5. External and Joint Funded Establishment

5.1 The external and joint funded Establishment decreased by 127.88 FTE in quarter one. This is due to the way posts are funded changing in the new financial year; this decrease is not posts being deleted from the Establishment, although that will account for some of the reduction.

5.2 The total FTE which is externally and joint funded now totals 82.60 FTE.

5.3 The total change in the externally and joint funded Establishment is summarised in the table below.

Joint and Externally Funded Establishment						
Q1 FTE 2010/11	Q2 FTE 2010/11	Q3 FTE 2010/11	Q4 FTE 2010/11	Q1 FTE 2011/12	Total difference over the year	% Difference over Year
288.98	255.15	240.32	210.48	82.60	-206.38	-71.42

5.4 The change in the joint and externally funded Establishment by directorate over the past year can be seen in the table below.

	Joint and Externally Funded Establishment						
	Q1 FTE 2010/11	Q2 FTE 2010/11	Q3 FTE 2010/11	Q4 FTE 2010/11	Q1 FTE 2011/12	Total difference over the year	% Difference over Year
Chief Executive	39.22	39.22	37.43	37.62	33.98	-5.24	-13.35
Children and Young People	154.76	152.07	140.86	124.32	39.62	-115.14	-74.40
Community Services	59.95	27.82	27.44	18.87	6.00	-53.95	-89.99
Environment	35.05	36.05	34.59	29.67	3.00	-32.05	-91.44
Total	288.98	255.15	240.32	210.48	82.60	-206.38	-71.42

5.5 The table below shows how the joint and externally funded posts on the Establishment have changed by service area comparing quarters two, three and four 2010/11 and quarter one 2011/12. A summary of funding by directorate can be seen at appendix two.

	Joint Funded Establishment				External Funded Establishment			
	Q2 FTE 10/11	Q3 FTE 10/11	Q4 FTE 10/11	Q1 FTE 11/12	Q2 FTE 10/11	Q3 FTE 10/11	Q4 FTE 10/11	Q1 FTE 11/12
CEO & Support	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Benefits & Exchequer	0.00	0.00	5.00	4.00	24.41	22.78	21.97	22.98
Finance	1.00	1.00	1.00	0.00	2.81	2.00	2.00	0.00
Human Resources	0.00	0.00	0.00	0.00	0.81	0.81	0.00	0.00
ICT	1.00	1.00	1.00	0.00	2.81	2.81	2.00	0.00
Legal & Electoral Services	0.00	0.00	0.00	0.00	0.00	0.65	0.65	0.00
Policy & Communication	0.76	0.76	0.00	0.00	4.62	4.62	3.00	2.00
Special Projects	0.00	0.00	0.00	0.00	1.00	1.00	1.00	5.00
Total Chief Executive	2.76	2.76	7.00	4.00	36.46	34.68	30.62	29.98

	Joint Funded Establishment				External Funded Establishment			
	Q2 FTE 10/11	Q3 FTE 10/11	Q4 FTE 10/11	Q1 FTE 11/12	Q2 FTE 10/11	Q3 FTE 10/11	Q4 FTE 10/11	Q1 FTE 11/12
Children's Services	25.21	25.71	26.21	1.00	8.41	9.81	8.00	5.23
Youth Services and Commissioning	7.29	6.29	6.29	0.00	8.57	4.62	3.62	0.00
Customer Services	0.00	0.00	0.00	0.00	1.62	1.62	0.00	0.00
Education Services	35.41	27.21	21.79	6.38	65.57	65.60	58.41	27.01
Director & Support	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Children and Young People	67.91	59.21	54.29	7.38	84.17	81.65	70.03	32.24
Adult Social Care	3.00	3.00	3.00	5.00	2.26	3.07	0.81	0.00
Cultural Services	2.65	2.65	2.65	0.00	2.41	1.41	0.41	0.00
Social Care Commissioning and Housing	4.00	4.00	3.00	0.00	9.50	10.31	7.00	1.00
System Transformation	1.00	1.00	1.00	0.00	3.00	2.00	1.00	0.00
Director & Support	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Community Services	10.65	10.65	9.65	5.00	17.17	16.79	9.22	1.00
Property and Public Protection	4.60	4.60	3.60	0.00	3.00	3.00	3.00	1.00
Highways & Transport	1.00	1.00	2.00	0.00	4.30	4.30	2.00	1.00
Planning and Countryside	1.81	1.81	1.81	0.00	21.34	19.88	17.26	1.00
Director & Support	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Environment	7.41	7.41	7.41	0.00	28.64	27.18	22.26	3.00
GRAND TOTALS	88.72	80.03	78.35	16.38	166.43	160.30	132.13	66.22

6. Conclusions

- 6.1 The total Establishment has decreased over the quarter.
- 6.2 The total Establishment at the end of quarter one 2011/12 is 1576.07 FTE, a decrease of 52.81 FTE when compared to the total of 1628.88 FTE at the end of quarter four 2010/11.
- 6.3 The amount of vacant FTE has increased to 179.45 FTE. At the end of quarter four there was 166.72 vacant FTE.
- 6.4 The overall vacancy rate was 11.39%, up from 10.82% at the end of quarter four. For comparison the vacancy rate at quarter one 2010/11 was 9.50%.
- 6.5 The rolling annual turnover rate (which includes quarter one) was 18.28%. For comparison the rate at quarter one 2010/11 was 9.06%.
- 6.6 The voluntary turnover rate at the end of quarter one 2011/12 (which excludes redundancies) was 7.48%.

Appendices

Appendix 1	Establishment trends Q2 2010/11 to Q1 2011/12 (figures for comparison over the past 4 quarters)
Appendix 2	Trends in funding for established posts Q2 2010/11 to Q1 2011/12

Consultees

Local Stakeholders:	Corporate Directors, Head of HR. Cllrs Jones, Stansfeld, Chopping (Conservative) Cllr Brooks (Liberal Democrat). Resource Management Working Group (27/09/11)
Officers Consulted:	As above
Trade Union:	Not consulted

Establishment Trends Q2 2010/11 to Q1 2011/12

The quarter one table below shows Establishment data for West Berkshire Council. This includes Establishment FTE, Occupied FTE, Vacancy details, Headcount and Turnover for the current quarter

Quarter 1 2011/12

Permanent and Fixed Term Establishment as at 30 June 2011

	Current WBC Establishment FTE	Current WBC Occupied FTE	Vacant FTE	Staff Headcount Per Service	Annual Turnover (rolling year) %	Vacancy Rate by Directorate
CEO & Support	2.42	2.42	0.00	3	0.00	
Benefits & Exchequer	80.57	71.73	8.84	81	4.85	
Finance	57.23	52.38	4.85	56	12.17	
Human Resources	27.44	25.74	1.70	29	31.03	
ICT	52.76	48.16	4.60	52	9.26	
Legal & Electoral Services	26.54	24.98	1.56	32	21.88	
Policy & Communication	36.28	32.45	3.83	38	32.18	
Special Projects	5.00	5.00	0.00	5	18.18	
Total Chief Executive	288.24	262.85	25.39	296.00	15.31	8.81
Children's Services	160.81	138.15	22.66	163	14.07	
Youth Services and Commissioning	58.80	48.51	10.30	74	41.34	
Customer Services	35.99	31.50	4.49	38	10.00	
Education Services	196.64	178.53	18.11	235	20.93	
Director & Support	2.00	2.00	0.00	2	0.00	
Total Children and Young People	454.24	398.69	55.55	512.00	21.34	12.23
Adult Social Care	376.00	326.04	49.97	394	21.79	
Cultural Services	76.03	66.52	9.51	101	22.64	
Social Care Commissioning and Housing	63.39	53.45	9.95	58	16.79	
Director & Support	3.00	3.00	0.00	3	0.00	
Total Community Services	518.43	449.01	69.42	556.00	21.22	13.39
Property and Public Protection	92.56	84.40	8.16	92	4.32	
Highways & Transport	114.96	103.58	11.38	110	12.56	
Planning and Countryside	105.64	96.09	9.55	106	12.90	
Director & Support	2.00	2.00	0.00	2	0.00	
Total Environment	315.16	286.07	29.08	310.00	10.17	9.23
GRAND TOTALS	1576.07	1396.62	179.45	#	18.28	11.39

Quarter 4 2010/11

Permanent and Fixed Term Establishment as at 31 March 2011

	Current WBC Establishment FTE	Staff Headcount Per Service	Annual Turnover (rolling year) %
CEO & Support	2.42	3	0.00
Benefits & Exchequer	80.57	82	4.82
Finance	56.42	53	12.39
Human Resources	20.79	26	31.58
ICT	52.76	51	13.21
Legal & Electoral Services	27.54	36	17.39
Policy & Communication	35.62	39	29.21
Special Projects	5.00	5	18.18
Total Chief Executive	281.11	295.00	15.24
Children's Services	160.88	168	13.45
Youth Services and Commissioning	57.92	77	38.25
Customer Services	35.99	40	9.64
Education Services	203.51	238	18.59
Director & Support	2.00	2	0.00
Total Children and Young People	460.30	525.00	19.49
Adult Social Care	429.61	459	9.73
Cultural Services	76.05	106	25.00
Housing and Performance	68.70	66	14.39
System Transformation	2.00	2	66.67
Director & Support	2.00	2	0.00
Total Community Services	578.36	635.00	13.04
Property and Public Protection	92.36	92	4.35
Highways & Transport	108.90	107	10.09
Planning and Countryside	105.84	108	12.44
Director & Support	2.00	2	0.00
Total Environment	309.10	309.00	9.19
GRAND TOTALS	1628.88	n/a #	14.69

The headcount per service should not be totalled to give a total headcount. Some employees may have several posts and this would give an inaccurate figure.

*** Represents turnover based on leavers from WBC in past rolling year and calculated through average headcount throughout the year
Turnover relates to crude turnover only and only measures external leavers not internal movement.

Quarter 3 2010/11

Permanent and Fixed Term Establishment as at 31 December 2010

	Current WBC Establishment FTE	Staff Headcount Per Service	Annual Turnover (rolling year) %
CEO & Support	2.42	3.00	0.00
Benefits & Exchequer	81.38	83.00	4.76
Finance	59.01	54.00	11.97
Human Resources	29.14	28.00	13.79
ICT	56.57	54.00	9.26
Legal & Electoral Services	28.58	36.00	14.93
Policy & Communication	53.87	41.00	25.81
Special Projects	5.00	5.00	18.18
Total Chief Executive	315.97	304.00	12.10
Children's Services	164.91	167.00	11.18
Youth Services and Commissioning	72.27	92.00	25.89
Customer Services	40.25	40.00	9.30
Education Services	218.65	248.00	13.04
Director & Support	2.00	2.00	0.00
Total Children and Young People	498.09	549.00	13.29
Adult Social Care	434.99	473.00	7.08
Cultural Services	81.22	103.00	20.44
Housing and Performance	73.65	66.00	13.99
System Transformation	4.00	4.00	22.22
Director & Support	2.00	2.00	0.00
Total Community Services	595.87	648.00	10.13
Property and Public Protection	97.21	92.00	4.32
Highways & Transport	112.28	109.00	4.57
Planning and Countryside	111.17	108.00	14.16
Director & Support	2.00	2.00	0.00
Total Environment	322.66	311.00	8.41
GRAND TOTALS	1732.59	n/a	11.18

Quarter 2 2010/11

Permanent and Fixed Term Establishment as at 30 September 2010

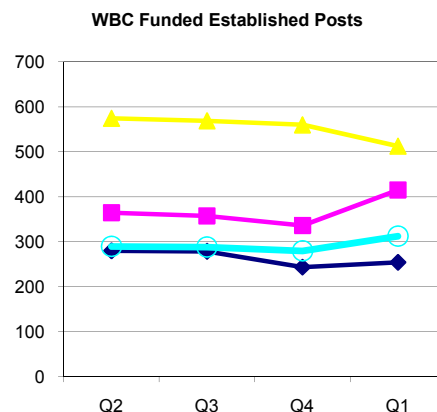
	Current WBC Establishment FTE	Staff Headcount Per Service	Annual Turnover (rolling year) %
CEO & Support	2.42	3	0.00
Benefits & Exchequer	81.00	84	5.92
Finance	61.50	59	11.57
Human Resources	29.14	29	13.33
ICT	57.57	56	3.60
Legal & Electoral Services	27.93	32	3.60
Policy & Communication	53.87	49	19.61
Special Projects	5.50	6	0.00
Total Chief Executive	318.93	318	10.63
Children's Services	164.55	164	12.50
Youth Services and Commissioning	80.08	105	18.43
Customer Services	40.25	42	17.98
Education Services	229.41	262	8.54
Director & Support	2.00	2	0.00
Total Children and Young People	516.29	575	10.84
Adult Social Care	434.18	478	9.51
Cultural Services	85.71	111	15.25
Housing and Performance	74.84	73	10.74
System Transformation	5.00	5	20.00
Director & Support	2.00	2	0.00
Total Community Services	601.73	669	10.69
Property and Public Protection	97.21	93	2.16
Highways & Transport	113.28	113	4.65
Planning and Countryside	112.63	111	14.04
Director & Support	2.00	2	0.00
Total Environment	325.12	319	8.82
GRAND TOTALS	1762.08	n/a #	10.36

Trends in Funding for Established Posts Q2 2010/11 to Q1 2011/12

The figures below show the position over the past four quarters for WBC, joint and external funded posts. All posts (permanent or fixed term) are included in this report.

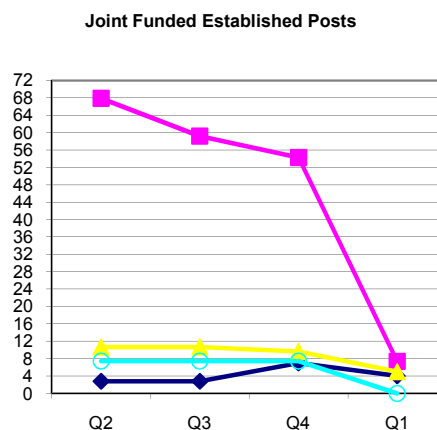
WBC funded post FTE increased by 75.07 FTE over the quarter.

	WBC Funded (incl. DSG)			
	Q2	Q3	Q4	Q1
Chief Executive	279.72	278.54	243.49	254.26
Children and Young People	364.22	357.22	335.98	414.62
Community Services	573.91	568.43	559.49	512.43
Environment	289.08	288.08	279.44	312.16
Total	1506.92	1492.27	1418.39	1493.47



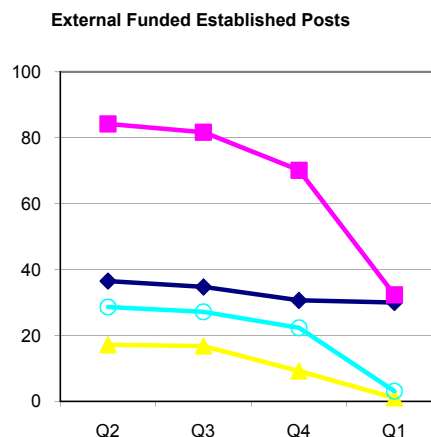
Joint funded post FTE decreased by 61.97 FTE over the quarter.

	Joint Funding			
	Q2	Q3	Q4	Q1
Chief Executive	2.76	2.76	7.00	4.00
Children and Young People	67.91	59.21	54.29	7.38
Community Services	10.65	10.65	9.65	5.00
Environment	7.41	7.41	7.41	0.00
Total	88.72	80.03	78.35	16.38



Externally funded post FTE decreased by 65.91 FTE over the quarter.

	External Funding			
	Q2	Q3	Q4	Q1
Chief Executive	36.46	34.68	30.62	29.98
Children and Young People	84.17	81.65	70.03	32.24
Community Services	17.17	16.79	9.22	1.00
Environment	28.64	27.18	22.26	3.00
Total	166.43	160.30	132.13	66.22



KEY

Chief Executive	diamond
Children and Young People	square
Community Services	triangle
Environment	circle

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Agenda Item 6

Title of Report:	Legal and Electoral Services Budget Report
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To receive a report that explains the variances between Month 9 and Year End spends for the Legal and Electoral Service.

Recommended Action: To discuss budget pressures within this service area.
To note the report.

Resource Management Working Group Chairman	
Name & Telephone No.:	Councillor Tony Vickers – Tel (01635) 230046
E-mail Address:	tvickers@westberks.gov.uk
Contact Officer Details	
Name:	David Baker
Job Title:	Policy Officer
Tel. No.:	01635 519083
E-mail Address:	dbaker@westberks.gov.uk

Supporting Information

1. Introduction

- 1.1 This report sets out and explains the variances between the Month 9 and Year End Finance Performance reports for the Legal and Electoral Service. The report is attached under Appendix A for Members information.

Appendices

Appendix A – Legal and Electoral Outturn Report

Costc	Costc(T)	Total Budget 2010-11	Final Outturn 2010-11	Year End Under(-)/Over-spend
40600	Procurement	77,490	82,457	4,967
43000	Legal Services Mngmnt	38,430	37,884	-546
43001	Schools Buy-back Legal Services	-29,650	-29,120	530
43030	Legal Services	588,240	521,490	-66,750
43031	Client Disbursements	134,240	255,126	120,886
43190	Coroners Court	102,400	113,401	11,001
43200	Reg Births Deaths Mrgs	-25,520	-77,998	-52,478
43250	Citizenship Ceremonies	7,950	794	-7,156
43255	Parish Election Exps	0	0	0
43260	Elections	90	5,140	5,050
43265	General Elections	0	0	0
43500	Local Land Charges	-169,640	-157,624	12,016
43610	Register Of Electors	171,970	171,462	-508
		896,000	923,012	27,012

M9 Forecast	Variance to M9	Explanation of Under/Overspends & variance to M9
1,500	3,467	
0	-546	
0	530	
-13,000	-53,750	The underspend is largely due to extra fee income, salary savings, savings on printing & stationery, legal fees & employee expenses. The variance to month 9 is largely due to £61k income received in quarter 4 which was not forecast. Procedures have been put in place to get planning income into the system more frequently rather than on a quarterly basis. Additional savings on books were not forecast.
125,292	-4,406	The overspend in disbursements was as forecast, due to high profile court cases.
10,235	766	No control over joint arrangement expenditure
-34,372	-18,106	Underspend is due to extra fee income & extra income from licences. The variance to month 9 is due to high levels of income being received in month 12.
-8,000	844	Salary savings and additional income as forecast
0	0	
0	5,050	Thatcham by election costs
0	0	
44,610	-32,594	The overspend is due to under-recovery of fee income, salary costs & IT. The variance to month 9 is due to the government grant received from DCLG in March for Personal Searches. The purpose of the grant is to provide support to Local Authorities towards expenditure to be incurred by them, as a result of revocation of the Personal Search fees. This was not forecast, as it was not anticipated.
0	-508	
126,265	-99,253	

Agenda Item 7

Title of Report:	Finance Performance Report (Month 4)
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To consider the finance performance report for (Month 4) 2011/12 and consider any areas of concern

Recommended Action: To note the report and recommend further action as appropriate.

Resource Management Working Group Chairman	
Name & Telephone No.:	Councillor Tony Vickers – Tel (01635) 230046
E-mail Address:	tvickers@westberks.gov.uk

Contact Officer Details	
Name:	David Baker
Job Title:	Policy Officer
Tel. No.:	01635 519083
E-mail Address:	dbaker@westberks.gov.uk

Supporting Information

1. Introduction

- 1.1 This is the second report as part of the financial reporting cycle for the 2011-12 financial year (MONTH4).
- 1.2 The report and appendices are included and these detail the Month 4 position by Directorate/Service and provide Directorate summaries.

Appendices

Appendix A – Financial Performance Report - period 4

Appendix 1 – Finance Performance Spreadsheet

Appendix 2a – Finance Performance Report - CYP

Appendix 2b - Finance Performance Report - CS

Appendix 2c - Finance Performance Report - ENV

Appendix 2d - Finance Performance Report - CEX

Appendix 2e - Finance Performance Report - BTL

Title of Report:	Financial Performance report (Month 4)
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To inform members of the latest financial performance of the Council.

Recommended Action: To note the report

Reason for decision to be taken: To ensure that members are fully aware of the latest financial position for the Council

Other options considered:

Key background documentation: Papers held in Accountancy

The proposals will also help achieve the following Council Plan Theme: <input checked="" type="checkbox"/> CPT13 - Value for Money The proposals contained in this report will help to achieve the above Council Plan Priorities and Themes by:
--

Portfolio Member Details	
Name & Telephone No.:	Councillor Keith Chopping - (0118) 983 2057
E-mail Address:	kchopping@westberks.gov.uk
Date Portfolio Member agreed report:	01 September 2011

Contact Officer Details	
Name:	Andy Walker
Job Title:	Head of Finance
Tel. No.:	01635 519879
E-mail Address:	awalker@westberks.gov.uk

Implications

Policy: n/a

Financial: The financial implications of the report have been detailed throughout the summary report and directorate appendices.

Personnel: n/a

Legal/Procurement: n/a

Property: n/a

Risk Management: n/a

Equalities Impact Assessment: n/a

Corporate Board's View:

Is this item subject to call-in?	Yes: <input checked="" type="checkbox"/>	No: <input type="checkbox"/>
If not subject to call-in please put a cross in the appropriate box: The item is due to be referred to Council for final approval <input type="checkbox"/> Delays in implementation could have serious financial implications for the Council <input type="checkbox"/> Delays in implementation could compromise the Council's position <input type="checkbox"/> Considered or reviewed by Overview and Scrutiny Commission or associated Task Groups within preceding six months <input type="checkbox"/> Item is Urgent Key Decision <input type="checkbox"/>		

Executive Summary

1. Introduction

- 1.1 This is the second report as part of the financial reporting cycle for the 2011-12 financial year.
- 1.2 The predicted revenue overspend for the 2011-12 financial year is £1,280k.
- 1.3 There are three service areas predicting significant overspends against their budget. These are the Children's service (£492k), Adult Social Care (£968k), and Planning and Countryside (£267k).
- 1.4 The other Council services, and respective directorates, are all forecasting close to, or slightly below, a breakeven position for the end of the financial year.

2. Proposals

- 2.1 For the Resource Management Working Group to note this report. Further details are provided in appendices 2a to 2e.

3. Conclusion

- 3.1 That the Resource Management Working Group notes the corporate position

Executive Report

1. Introduction

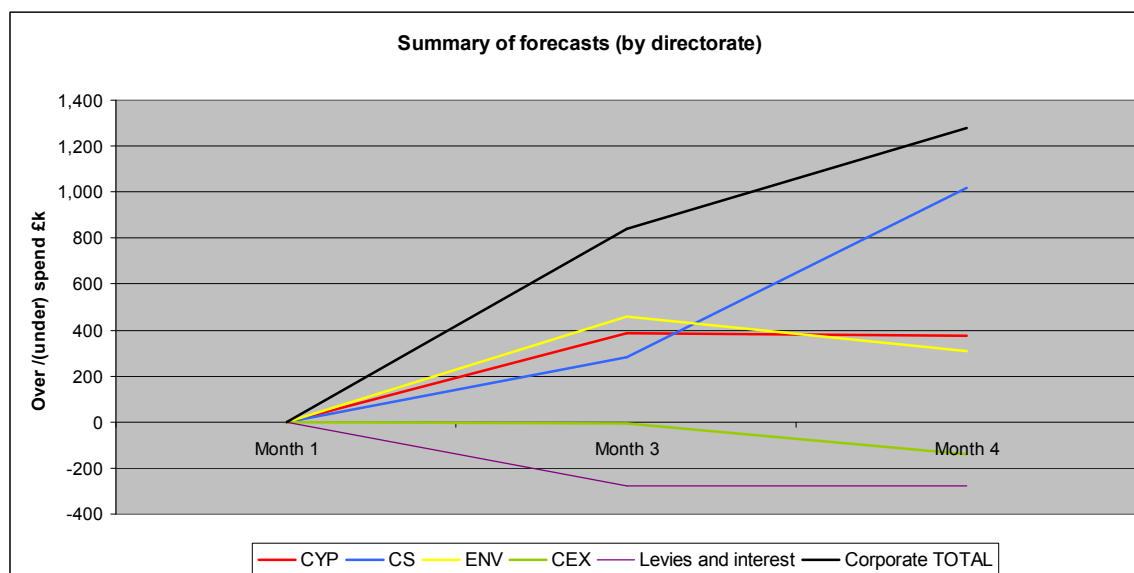
- 1.1 The financial performance report summarises the key financial activity and forecasts for the Council.
- 1.2 The revenue overspend position summarised in this report is a result of forecasts submitted by directorates. These forecasts are based on the projected net expenditure for the rest of the financial year and are adjusted for any management action which occurs to reduce a potential overspend position at the end of the financial year.

2. Summary revenue position

- 2.1 The current revenue budget forecast is showing an overspend of £1,280k. This figure would be nearly £300k higher were it not for additional investment income being received in the levies and interest line. The overspends are being driven by three services; Children's service, Adult social Care, and Planning & Countryside.
- 2.2 There has been a rise of £866k in the forecast outturn when compared to month 3. This is almost entirely driven by an increase in the forecast overspend in Adult Social Care of £727k month on month. The most significant pressure emerging in Adult Social Care relates to the costs of clients with Learning Disabilities.
- 2.3 The Children's service is forecasting an overspend due to pressures on residential care placements as well fostering budgets. The Adult Social Care service has seen further pressures, with management action reducing these forecasts wherever possible. The Planning & countryside service is forecasting a shortfall on income due to delayed legislation allowing local authorities to set planning fees for themselves which is prime reason for this service overspend.

3. Commentary on the revenue forecasts

- 3.1 The current position shows an overspend of £1,280k.
- 3.2 The variances per directorate are highlighted on the chart below:



3.3 There is a cumulative contribution from the Children & Young People, Community Services and Environment directorate to a £1.6m overspend position. This is reduced by a £280k in levies and interest. This is due to a greater return on investment by paying employer pension scheme amounts to the Berkshire Pension Fund earlier; appendix 2e provides further detail. There is also an underspend forecast of £139k in the Chief Executive's directorate.

4. Redundancy costs for the 2012-13 financial year

4.1 As reported previously, the Council has been given a capitalisation directive from central Government which will allow the Council to capitalise statutory redundancy costs. This will therefore reduce the pressure on revenue to fund exit costs, but will put pressure on the capital programme.

Appendices

Appendix 1 – Revenue summary position
Appendix 2a to 2e – Directorate summaries

Consultees

Local Stakeholders: n/a
Officers Consulted: Corporate Board
Trade Union: n/a

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2011/12 Budget Monitoring
Period 04

Appendix 1

Amended Consolidated Replies

	Past Performance				Forecasted Performance							Net
					Expenditure			Income		Net		
	Cum. Budget to 31/Jul/2011 £	Cum Exp/Inc to 31/Jul/2011 £	Actual Variance to date £	Outstanding Commitment for the year £	Annual Expenditure Budget for 2011/12 £	Forecast Expenditure £	Expenditure Variance £	Annual Income Budget for 2011/12 £	Forecast Income £	Income Variance £	Net Variance £	
DEDICATED SCHOOLS GRANT	71,336,133	49,963,366	-21,372,767	1,190,862	123,778,380	123,727,895	-50,485	-124,478,270	-124,427,785	50,485	0	-699,890
CORPORATE DIRECTOR - CYP	64,413	61,845	-2,568	742	208,540	208,540	0	0	0	0	0	208,540
YOUTH SERVICES & COMMISSIONING	687,275	776,815	89,540	108,601	3,198,310	3,154,160	-44,150	-546,950	-441,340	105,610	61,460	2,651,360
EDUCATION SERVICES	3,536,267	1,562,747	-1,973,520	3,561,347	15,591,750	16,075,226	483,476	-2,520,010	-3,114,459	-594,449	-110,973	13,071,740
CHILDREN'S SERVICES	3,003,890	3,447,627	443,738	1,378,787	11,863,880	12,358,618	494,738	-682,000	-684,738	-2,738	492,000	11,181,880
CUSTOMER SERVICES	295,320	279,753	-15,567	826	1,017,750	950,198	-67,552	-17,740	-17,740	0	-67,552	1,000,010
CHILDREN AND YOUNG PEOPLE DIRECTORATE	78,923,297	56,092,153	-22,831,144	6,241,166	155,658,610	156,474,637	816,027	-128,244,970	-128,686,062	-441,092	374,935	27,413,640
CORPORATE DIRECTOR - CS	36,571	-348,714	-385,285	1,036	451,680	451,680	0	-250,000	-250,000	0	0	201,680
HOUSING & PERFORMANCE	2,024,257	2,226,632	202,375	68,878	7,367,170	7,388,371	21,201	-605,010	-588,109	16,901	38,102	6,762,160
ADULTS SOCIAL CARE	9,684,027	12,280,270	2,596,243	293,460	47,952,660	50,590,373	2,637,713	-9,745,650	-11,415,106	-1,669,456	968,257	38,207,010
CULTURAL SERVICES	1,256,732	1,305,923	49,191	607,781	4,857,190	4,757,520	-99,670	-743,790	-634,690	109,100	9,430	4,113,400
COMMUNITY SERVICES DIRECTORATE	13,001,586	15,464,111	2,462,525	971,155	60,628,700	63,187,944	2,559,244	-11,344,450	-12,887,905	-1,543,455	1,015,789	49,284,250
CORPORATE DIRECTOR - ENV	52,987	52,179	-808	0	160,870	160,870	0	0	0	0	0	160,870
HIGHWAYS & TRANSPORT	1,997,029	1,813,197	-183,832	1,807,428	12,242,900	12,186,500	-56,400	-4,306,050	-4,202,650	103,400	47,000	7,936,850
PLANNING AND COUNTRYSIDE	1,049,488	1,032,102	-17,386	368,220	6,309,990	6,336,870	26,880	-2,548,650	-2,308,530	240,120	267,000	3,761,340
PROPERTY & PUBLIC PROTECTION	4,353,855	5,512,587	1,158,732	312,632	22,448,430	22,415,200	-33,230	-4,196,520	-4,169,290	27,230	-6,000	18,251,910
ENVIRONMENT DIRECTORATE	7,453,360	8,410,065	956,706	2,488,280	41,162,190	41,099,440	-62,750	-11,051,220	-10,680,470	370,750	308,000	30,110,970
CHIEF EXECUTIVE	174,914	167,989	-6,926	4	546,090	531,090	-15,000	0	0	0	-15,000	546,090
HUMAN RESOURCES	345,028	188,867	-156,161	164,920	1,457,310	1,395,801	-61,509	-293,500	-261,465	32,035	-29,474	1,163,810
ICT	740,014	1,180,441	440,426	209,703	3,716,600	3,691,600	-25,000	-990,970	-950,120	40,850	15,850	2,725,630
LEGAL & ELECTORAL	247,795	404,164	156,369	15,420	1,536,090	1,549,666	13,576	-617,610	-636,028	-18,418	-4,842	918,480
POLICY AND COMMUNICATION	931,079	333,565	-597,514	526,426	4,129,820	4,018,260	-111,560	-788,420	-784,460	3,960	-107,600	3,341,400
BENEFITS AND EXCHEQUER	-4,971,703	-4,715,037	256,666	141,753	47,489,000	47,910,610	421,610	-46,318,010	-46,769,620	-451,610	-30,000	1,170,990
FINANCE	519,188	340,087	-179,101	60,321	4,220,730	4,199,010	-21,720	-1,897,340	-1,843,550	53,790	32,070	2,323,390
SPECIAL PROJECTS	100	0	-100	0	400	400	0	0	0	0	0	400
CHIEF EXECUTIVE'S DEPARTMENT	-2,013,585	-2,099,925	-86,340	1,118,547	63,096,040	63,296,437	200,397	-50,905,850	-51,245,243	-339,393	-138,996	12,190,190
CAPITAL FINANCING & MANAGEMENT	243,306	-317,678	-560,985	0	6,228,320	6,228,320	0	-281,720	-561,720	-280,000	-280,000	5,946,600
MOVEMENT THROUGH RESERVES	-486,260	-486,265	-5	0	-486,260	-486,260	0	0	0	0	0	-486,260
LEVIES AND INTEREST	-242,954	-803,943	-560,989	0	5,742,060	5,742,060	0	-281,720	-561,720	-280,000	-280,000	5,460,340
GRAND TOTAL	97,121,704	77,062,461	-20,059,242	10,819,147	326,287,600	329,800,518	3,512,918	-201,828,210	-204,061,400	-2,233,190	1,279,728	124,459,390

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CHILDREN AND YOUNG PEOPLE'S DIRECTORATE POSITION AS AT MONTH 4:

	Month 4 forecast £000
CORPORATE DIRECTOR - CYP	0
YOUTH & COMMISSIONING	61k
EDUCATION SERVICES	-111k
CHILDREN'S SERVICES	492k
CUSTOMER SERVICES	-67k
Total	375k

CYP are forecasting £375k over spend. This is higher than at a similar time last year, and reflects additional pressures on the service in respect of placements for Looked After Children, and problems achieving MVF.

The majority of the overspend is attributable to Children's Services which is currently forecasting a service overspend of £492k, this is a £102k increase on period 3 figures. Youth & Commissioning is currently forecasting a £61k overspend. The Corporate Director cost centre is forecasting on line, Education Services a £111k under spend and Customer Services is forecasting a £67k under spend.

The MVF for the Directorate is £637k, and a shortfall is which is factored into the proposed management action and current forecasting. It is anticipated that the impact of this shortfall will be at least £100k by the end of the financial year, though this clearly depends on the number of staff leaving the organisation.

Pressures on the 2011-12 budget

The main pressures are in the Children's Social Care budgets. These represent one of the financial pressure points in any Council. The need to keep social work posts filled, and to find placements for all children in care, can make budget overspends hard to contain. In the current financial year, the main pressure is on placement budgets; recruitment to many (although not all) social work posts by the autumn will relieve some of the the financial pressure currently being experienced in the staff teams. We aim to place as many Looked After Children as possible in local foster placements, but on occasions these are all full, or the needs of particular children require specialist care. Investment in family support and early intervention services is designed to minimise the numbers of children entering care, thereby preventing higher costs.

The overspend in Children's Services relates predominately to increased numbers of residential, in-house and Independent Fostering Agency placements, as a consequence of increasing numbers of children received into care since March 2011 – there have been a total of 20 new admissions this year, compared with 9 for the same period in 2010. As at 21st August, there were 130 Looked After Children, of whom 17 were asylum seekers (compared with 30 at this time last year).

The 'mix' of new admissions has therefore changed, albeit that the total numbers in care have remained much the same. This year there have been fewer unaccompanied asylum seekers, with higher numbers of younger children, and teenagers with severe behavioural problems who cannot be contained within mainstream foster care. It has also meant a reduction in grant funding for asylum seekers, which would otherwise have helped to reduce costs.

These pressures on the budget are expected to continue during the summer. A further 16 children are on the edge of care currently, including a sibling group of 8 which includes 3 pairs of twins. During July, two young men were remanded to the care of the local authority following violent and criminal behaviour including drug dealing, threats of kidnapping and intent to kill or maim with shotguns. These young people cannot be maintained locally, or in anything other than specialist residential care.

The forecast overspend in Education is due to ongoing pension costs arising from teachers' premature retirement. Savings across the service have been identified to offset as much of this pressure as possible.

The Youth & Commissioning overspend relates to non-achievement of income.

Management action taken to address emerging pressures

As noted above, the main problem relates to placement costs for looked after children. Tight controls are maintained on children entering the care system, but overall numbers cannot be controlled and court-ordered remands and large siblings groups cannot always be managed in local placements. Whilst new child protection referrals have decreased slightly this year, overall LAC numbers remain the same, with average costs per child increasing due to complexity of some children's background, the need to use external residential and fostering placements and the reduction in the proportion of Unaccompanied Asylum Seekers (for whom government grant covers some of the costs).

Management action in Children's Services includes:

- offsetting some residential and fostering overspend against under spends on the Guardianship and Kinship Care budgets.
- regular reviews of all placements, and children actively moved into and out of placements where this can be done appropriately.

- the move of some teenagers back into the care of their extended families from expensive residential resources.
- Increased support to some families to keep children at home, although this is not always a long-term solution and can be resisted by the courts

Across the rest of the Directorate steps taken to offset the pressures include:

- Only specific, identified vacancies are being recruited to
- Spend in Children's Centres and Early Years settings has been temporarily slowed
- all other expenditure is scrutinised by managers, and possibilities for reductions identified.

Precise forecasts in respect of looked after numbers and pressure on placement budgets are difficult at this stage in the year. Provided that overall numbers of looked after children remain at around 130, and provided that the number of court-ordered placements does not increase, it should be possible to reduce the overall placement budgets overspend somewhat – but at this stage it is not possible to be definite about bringing these budgets in on-line. There is little flexibility in other budgets within this service – the majority relate to social work teams and Castle Gate which require minimum staffing levels. Reductions in the Family Resource Service are counterproductive, given its role in reducing the need for children to be received into care in the first place. Resources within the Family Intervention Project Team have been allocated in order to provide intensive support and mitigate the need for children to enter the care system.

The Youth Services budgets are coming under increasing pressure due to the current economic climate impacting upon the service's ability to achieve income targets.

A view is taken of budgets and expenditure across the Directorate as a whole, and spend curtailed in as many areas as possible in order to identify ways of offsetting overspends on those budgets which are under particular pressure.

Risks identified

In respect of Children's Services there remains a risk to the year-end budget position regarding the financial impact of increasing numbers of Looked After Children. The fostering service is coming under increasing pressure with the in house service being at full capacity resulting in increased usage of independent foster carers. Staff turnover will impact on the achievement of MVF.

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COMMUNITY SERVICES DIRECTORATE POSITION AS MONTH 4

Revenue:

	Month 4 forecast £000
CORPORATE DIRECTOR – CS	0
SOCIAL CARE COMMUNITY and HOUSING	38
ADULT SOCIAL CARE	968
CULTURAL SERVICES	9
Total	1,015

Director's Summary

Overview

The Month 4 position reports a forecast overspend at year end for the Directorate of just over £1m.

Adult Social Care

The Adult Social Care service is facing significant pressure in the 2011-12 financial years, and these are being carefully monitored. There are significant pressures from within the Learning Disability area of the service. The other services within the directorate are reporting minor overspends at present.

Pressures on the 2011-12 budget

Pressures have already been identified with regard to Ordinary Residence and in-house reablement.

There are further emerging pressures in connection with :-

NHS Foundation Trust Fines for Delayed Transfers of Care

Currently in the RBH delays vary between 3 and 5 weeks which ensures we avoid any fines. However, if delays increase and pressure builds up RBH may change their position. The Royal Hants and North Hants will continue to fine on any delay. The new community health provider BHCFT may also consider fining for the delays in West Berkshire Community Hospital and Prospect Park although there are no indications of this currently. WBC has between 7-9 delays per week in WBCH usually due to lack of beds.

Southern Cross

Should this company cease trading the service will have to direct its activity as a priority to managing this situation, diverting its capacity from achieving the savings,

reducing waiting lists, and service transformation. The scale of the financial pressure is unknown but the closure of only 35 beds at Trafalgar Court generated a pressure in excess of £300,000. The equivalent for Southern Cross homes where we have 81 people placed could be in excess of £500,000 if all 3 homes were to close. Although closure is very unlikely, as our local homes are profitable and full, a new landlord/owner could increase prices.

Continuing Healthcare

The NHS continues to take a robust position in its review of those funded by the NHS by rejecting new requests or deciding an individual is no longer eligible for CHC funding. An Invest to Save bid to BUMP was successful and a specialist CHC worker began 22 August. Those individuals with CHC funding are those with the most complex needs and thus the most expensive care costs. Currently one dispute is over £100,000 per annum.

Two further pressures concerning capital depleters and limited bed capacity forcing up prices are currently controlled in terms of overspending but the risk remains.

Management action to address the emerging pressures

The Directorate is examining all of its budgets to identify any items which could be used to mitigate the forecast overspend. In addition;

- Adult Social Care continues to monitor spend at the resource allocation panel to ensure that the critical eligibility criteria is consistently applied.
- The Council is also working to ensure that delayed transfers of care are kept to minimum levels – cash avoidance measure
- Robust contract negotiations are ongoing with providers to reduce prices using the Care Funding Calculator
- A specialist Continuing Health Care (CHC) worker will start later in August to ensure assertive take up of NHS CHC
- It is proposed to convert Walnut Close long stay beds (12 in total) into residential beds by October 2011. This will allow the Council to collect extra income assuming the occupants are self funders, and ease pressure on delayed transfers of care.
- Robust audit of Direct Payments to release unspent monies.

Risks identified

Forecast position is based on the ability of Adult Social Care service to hold demand at a static level and there are risks attached to that assumption. Further it assumes achievement of all disinvestments including those around commissioning, which have not yet been fully realised.

ENVIRONMENT DIRECTORATE POSITION AS AT MONTH 4:

Revenue:

	Month 4 forecast £000
CORPORATE DIRECTOR - ENV	0
HIGHWAYS & TRANSPORT	47
PLANNING & COUNTRYSIDE	267
PROPERTY & PUBLIC PROTECTION	-6
Total	308

Corporate Director's summary:

Overview

- 1.1 The forecast revenue over spend for the Environment Directorate as a whole is £308,000 against the budget of £30.1 million.
- 1.2 No variance is expected in the Corporate Director's budget.
- 1.3 Highways and Transport is forecasting an overall pressure of £47,000. Despite a reduction in income target in 2011/12, income from parking during the first four months is below the expected level resulting in a forecast year end shortfall of £150,000. This is going to be managed by a reduction in other budget areas. There is a new pressure arising from renewal of bus contracts following withdrawal by Newbury Buses. In conjunction with the Portfolio Holder, it was decided to renew the contract, which has led to a pressure of £47,000.
- 1.4 The Planning and Countryside service is forecasting an over spend of £267,000. The delay in the introduction of legislation surrounding the setting of Development Control planning fees will mean that the new fee structure cannot be implemented until January 2012 at the earliest. This will result in a pressure against the income target. Income from Development Control in the first quarter has been good and, if this continues, would reduce the above pressure. Building Control income levels are consistently below budget.
- 1.5 The Property and Public Protection budget is expected to be under spent by £6,000.

Pressures on the 2011-12 budget

- 1.6 In Highways and Transport, despite a £220,000 reduction in income target in 2011/12, income from parking during the first four months is below the expected level. There is expected to be a shortfall of £75,000 in car park income and £75,000 in fixed penalty income. It is known

that car park income is down across the UK. £70,000 of the MVF target has been identified but £56,000 remains a pressure. There is a £47,000 pressure following the withdrawal of Newbury Buses from the Newbury/Tesco and Newbury/Wash Common services and subsequent re-tendering of the contracts.

- 1.7 The Planning and Countryside service is forecasting an over spend of £267,000. The delay of legislation surrounding the setting of Development Control planning fees is expected to result in a pressure of £210,000 against the income target. Income from Development Control in the first quarter has been good and, if this continues, would reduce the pressure to £150,000. Building Control income is forecasting a year end pressure of £91,500; income is consistently below budget due to the economic climate, competition, loss of domestic market and some major contracts.
- 1.8 There are pressures in Property and Public Protection of £27,000 in rental income together with a shortfall in fair funding income of £38,000.

Management action taken to address emerging pressures

- 1.9 The main pressure forecast by the Highways and Transport Service of £150,000 is due to declining parking income during the first four months and £56,000 MVF pressure.
- 1.10 In Planning, until the legislation relating to planning fees is brought in the income will continue to suffer. Expenditure in Planning and Building Control will be reviewed with a view to addressing the shortfall in income. It is unlikely that the shortfall will be recovered in this financial year.
- 1.11 The pressures in Property and Public Protection will be reduced through freezing of vacancies. £31,000 of the £38,000 shortfall in fair funding income will be met from savings within the service.

Risks identified

Potential risks include:

- Further pressure on car park income, planning and building control income due to the impact of changes in demand
- Severe weather would put pressure on winter maintenance budgets
- An unforeseen Property maintenance issue would put pressure on the reactive maintenance budget
- Increased expenditure on the Local Development Framework following the suspension of the Examination in Public

- The Berkshire joint arrangement to prepare a minerals and waste planning policy document has ended. This has resulted in a need to prepare a local policy document. The programme and associated costs are currently being prepared.
- Further delays to the Planning fees legislation.

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CHIEF EXECUTIVE'S DIRECTORATE POSITION AS AT MONTH 4**Revenue:**

	Month 4 forecast £000
CHIEF EXECUTIVE	-15
HUMAN RESOURCES	-29
ICT	16
LEGAL & ELECTORAL	-5
POLICY & COMMUNICATION	-108
BENEFITS & EXCHEQUER	-30
FINANCE	32
SPECIAL PROJECTS	0
Total	-139

Corporate Director's summary:**Overview**

The Directorate is forecasting to be £139k under spent at outturn. There are pressures in Finance and ICT which are currently being offset by savings in Legal & Electoral, Benefits and Exchequer and Policy & Communication.

Pressures on the 2011-12 budget

There is a £50k pressure in ICT on print room income, which would appear at first sight to be due to lower work volumes. This is being looked at in greater detail.

Management action taken to address emerging pressures

Savings are being identified across the Directorate to manage emerging pressures.

Risks identified

No major risks have been identified at this point.

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BELOW THE LINE FORECASTS AS AT QUARTER 1:

As at quarter 1 the levies and interest line is showing a benefit of £280k compared to the budgeted figure.

This is because the Council paid over its pension contributions to the Royal Berkshire Pension fund at the start of the financial year. This has enabled the Pension Fund to give the Council a discount of approximately 3% on the total amount which would have been due, if payment had been made in monthly instalments. This saving is significantly higher than the rate of interest which the Council would earn on the additional amounts which it could have invested throughout the year if the pension contributions were paid monthly (the Council's net rate of return on its investments was 0.66% in 2010/11). This arrangement therefore brings a net benefit to the Council of approximately £280k.

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Agenda Item 8

Title of Report:	Strategic Risk Register
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To scrutinise individual items on the Risk Register.

Recommended Action: To consider the individual risk items and discuss any future areas for scrutiny.

Resource Management Working Group Chairman	
Name & Telephone No.:	Councillor Tony Vickers – Tel (01635) 230046
E-mail Address:	tvickers@westberks.gov.uk

Contact Officer Details	
Name:	David Baker
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Executive Report

1. Introduction

- 1.1 Members are requested to consider the latest Strategic Risk Register attached at Appendix A. In addition, Members are asked to give consideration to future areas for scrutiny.

Appendices

Appendix A – Strategic Risk Register - Critical Risks reviewed September 2011

Appendix B – Risk Appetite

Appendix C – Strategic Risk Register June 2011

Consultees

Local Stakeholders:

Officers Consulted: Chief Internal Auditor

Trade Union: N/A

Section 1 Net Red Risks

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at September 2011	Required Action(s)	Responsible officer	Deadline
	Finance related issues							
1.1 (SRR Ref 1.4, 1.5 & 2.13)	Spending reductions in wider public sector and the LG settlement of front loaded reductions of 28% is leading to severe pressure on the Council. In addition the recession is impacting in income levels in some services	MTFS TEB	16	12	Reduction in the funding of partners within other parts of the public sector is not having a significant impact at present. The 11-12 budget is now completed but there remains a significant gap, £3m, for 12-13 and beyond. Income levels appear to be stable at present, with the exception of income from fair funding which is likely to drop as schools become Academies	1. Review service reductions proposed for 12-13 to ensure a balanced budget can be set.	Corporate Board	1.10.11
Page 10 SRR Ref 2.11)	Overspend in Adults Social care each year for the last four years and which is on an upward trend.	MTFS Budget monitoring system Contingency fund Financial rules of procedure	16	12	Demographic modelling for activity and cost forecasting 2011/12 approved by TEB , Corporate Board and Management Board. Other potential risks held on a register by the service and accountancy. Monthly Adult Social Care Budget Monitoring meetings held with Director, Head of Service Portfolio Member for Finance, Portfolio Member for Community Care, s151 Officer, Finance Manager and Chief Executive. Benchmarking undertaken with other Berks UAs to understand any potential for further VFM. Dilnot Commission report on the funding of Social Care may provide a solution in the medium term.	1. Risks to be monitored in ASC Budget Monitoring Meetings and alerts escalated as necessary to Corporate Board and Management Board. 2. Corporate VFM report to be agreed following benchmarking work, to identify any further actions in addition to those already underway through the MTFS/Transformation work.	Corporate Board	
	External / Environmental							

Management Board – Strategic Risk Register – Action Plan Update – Dated September 2011

Appendix A

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at September 2011	Required Action(s)	Responsible officer	Deadline
1.3 (SRR Ref 1.9)	Terrorist Action may target AWE or rail network. Less likely is damage or destruction of a key Council building. In the case of Market St this would involve the loss of the data and telecoms network crippling the ability of the Council to deliver services.	Inter agency working Intelligence briefings Major Incident Plan	8	8	Government warning indicates threat is imminent. Insurers are now offering more flexible cover, eg for a single building, maybe worth considering for Market St	1. Quote for Terrorism insurance for Market St to be sought on annual renewal 2. Review Building Security & raise staff awareness 3. Review contingency planning in the case of the loss of Market St.	Ian Priestley lackie Woodland	1.11.11
	Economic							
1.4 (SRR Ref 1.12) Page 56	Potential failure of a major supplier. Southern Cross provide residential care to WBC. 26 beds from SC at Hungerford and a further 26 at Reading. In addition other residents of WB have places with SC funded independently.	Contingency plan in place, with options outlined and risk register. Working with neighbouring Councils and NHS	12	8	The situation is changing on a daily basis as various options are considered by the Company. At present the situation appears to be stable.	1. Continuous monitoring and regular update into Corporate Board. 2. Corporate Board to agree the range of options to re-bed our clients in the event of these homes closing.	Jan Evans	
	Government Initiatives							
1.5 (SRR Ref 2.7)	Changed governance for schools caused by schools opting for Academy status impacting on the funding of services that provide support to schools	Marketing services to Academies MTFS Schools Funding Formula review	8	8	2 Secondary Schools have moved over. 1 Secondary looking to move from September. Likely that other Secondary Schools will follow. Latest indications are that very few former 'fair funding services' will be offered to academies and this will result in a loss of income Secretary of State has indicated worst 200 primary schools will be require to become Academies A number of Local Authorities have taken a legal	1. Academies working group established. 2. Consideration being given to continuing selling some services to Academies.	All Service Managers selling service to schools	

Management Board – Strategic Risk Register – Action Plan Update – Dated September 2011

Appendix A

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at September 2011	Required Action(s)	Responsible officer	Deadline
					challenge to the DFE's decision to remove LA funding to support the additional costs of Academies			
1.6 (SRR Ref 2.8)	Major change programme in Community Services including the closure of Day Care Centres and the shift to Personal Budgets.	Possible increased funding MTFS TEB	12	9	Major change programme is underway. Programme Group is overseeing the changes.	1. Regular reporting to Corporate Board to ensure project stays on track to deliver savings.	Jan Evans	
	HR Related Issues							
1.7 (SRR Ref 2.22)	Failure of key systems / services due to reliance on key individuals caused by the need to make staffing reductions.	Workforce (succession) planning. Cross working to spread knowledge. Identification of key individuals in service plans.	12	9	Cuts to staffing are leaving some services dependent on single individuals to manage business critical functions.	1. Identify key individuals 2. Review contingency arrangements 3. Consideration of Shared Services to improve resilience	All Heads of Service	

Section 2 New emerging / increasing risk areas

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at February 2011	Required Action(s)	Responsible Officer	Deadline
	Financial Issues							
2.1 (SRR Ref 1.6)	Increasing inflation causing increased costs, adding to the pressure on the budget	MTFS	9	6	Bank of England now forecasting 5% inflation. This may add to pressure on wage demands and will impact on contracts where uplift is driven by RPI, RPIX , eg Waste.	1. Renegotiate contracts – eg 2 week bin collection 2. Avoid use of RPIX in future contracts, or renegotiate to CPI?	All Heads of Service	
2.2 (SRR Ref 2.10)	Inaccurate or unreliable financial planning caused by changes in Government funding method leading to the need to make additional cuts in services.	MTFS includes sensitivity analysis Budget monitoring Financial rules of procedure Strong governance and controls TEP	6	6	Recent changes in the method of allocating grant, eg the removal of funding to cover Academies, is making the job of providing a robust MTFS difficult.	1. MTFS model under continuous review	Joseph Holmes	
2.3 (SRR Ref 2.12)	Tax Base not rising in line with expectations caused by impact of the recession on house building leading to reduced income - potentially higher Council Tax.	Set a prudent but realistic projection Undertake sensitivity analysis. Monitor through TEP Planning policy re new build	9	4	When you take into account the time at which the forecast has to be prepared and the number of factors outside of the Council's control, the forecast Tax Base for 2010/11 proved to be accurate. The issue that arose was that new properties are taking longer to sell and occupy and therefore the amount of tax being collected is lower than forecast. This has a negative effect on the collection fund position.	The tax base model is constantly reviewed as new information and trends become known.	Steve Duffin	
2.4 (SRR Ref 2.1)	Failure to deliver outcomes on Council Plan. Caused by Inadequate resources. Leading to Service delivery failure and reputation damage	Effective service planning. Effective performance management. Effective resource planning. Effective risk management.	9	4	The level of savings required over the next three years means that services are being cut.	1. Council Plan revision needs to reflect reduced resources. 2. Implications of cuts needs to be considered	Corporate Board	

Management Board – Strategic Risk Register – Action Plan Update – Dated September 2011

Appendix A

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at February 2011	Required Action(s)	Responsible Officer	Deadline
	External							
2.5 (SRR Ref 1.15)	Fuel shortages caused by disruption to supplies due to local disputes in the UK over rising fuel prices or civil unrest in oil producing countries. Leading to disruption to Council services and the community, possible reputation damage and civil unrest	MIP Fuel Plan Multi-agency Working Rationing Timelord	9	6	Petrol prices are at record high. Ongoing civil unrest / civil war in a number of oil producing countries.	1. Review the relevant Plans (MIP, Fuel Plan) 2. Multi Agency working	Carolyn Richardson	
2.6 (SRR Ref 1.13)	Continuing risk from adverse weather – drought, flooding, storm, heatwave, snow.	Major Incident Plan Multi agency working, including flood action group and Thames Valley LRF Adverse Weather Group. Maintenance of drainage systems by Council	12	6	Drought declared in East Anglia – potential for same here.	1. Require regular assurance that the seasonal plans are being kept up to date.	Carolyn Richardson	
2.7 (SRR 1.7)	Risk of breakdown in Telecoms caused by theft of hardware / wiring, leading to major disruption to the Council.	Major Incident Plan Business Continuity Plan Liaison with utilities and Police. Flexible working	8	6	New issue that should be monitored	1. Review of the Council's Business Continuity Plans to ensure they reflect this latest risk	Jackie Woodland	
	Public Relations							
2.8 (SRR Ref 2.24 & 2.27)	Failure to manage bad / difficult news in the local media	Effective PR – with clear ownership by the Executive.	9	6	Fair amount of negative press for LG at present, due to cost reductions. Members and Officers have continual liaison over potential issues – eg providing public explanation of the need to make cuts.	1. Monitoring and proactive press management	Keith Ulyat	
	Government Initiatives							
2.9 (SRR)	The Government is proposing to give responsibility for Public Health to local authorities	Transfer of Resources TUPE of existing staff	9	6	This will go ahead, but details are unclear as yet.	1. Project plan needs to be put in place 2. Responsibility to manage	Corporate Board	

Section 3 Reducing risk areas

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at February 2011	Required Action(s)	Responsible Officer	Deadline
3.1 (SRR Ref 3.7)	Health and Safety governance	Effective School Service Safety Management System in place Health and safety Strategy Risk Strategy Group Effective performance management Effective School Support Service FLASH reporting	12	6	The new reporting system is in place now, and is bedding in well. It will be amended from the third quarter, to require incidents and accidents to be investigated. The H&S Team have implemented a new process for investigating and reporting on serious incidents.		Ian Priestley	
3.2 (SRR Ref 3.11)	Loss / compromise of confidential information	Security controls and policy GCSX Controls Hard disc encryption	12	6	Action Plan in place which includes Training encryption, guidance and internal regulation. Quarterly reports being prepared for Corporate Board.		Jackie Woodland	
3.3 (SRR Ref 5.2)	Increasing numbers of poorly performing schools leading to poor quality education, intervention and reputation damage caused by poor leadership within schools	School Improvement Service Monitoring and support processes Risk assessment and intervention process	9	6	School Improvement Management Board in place. Schools causing concern identified early, action agreed at School Improvement Management Board and implemented.		Ian Pearson	
3.4 (SRR Ref 2.15)	Scale of Capital Programme can not be sustained as it is no longer affordable, this will impact on a range of projects across the Council – eg schools maintenance, Highways Maintenance	MTFS Capital Strategy	9	4	Capital Strategy Group has prioritised the available resources.		John Ashworth	

Management Board – Strategic Risk Register – Action Plan Update – Dated September 2011

Appendix A

ref	Area of Concern / Risk Scenario	Existing Controls	Gross Risk Score	Net Risk Score	Update as at February 2011	Required Action(s)	Responsible Officer	Deadline
3.5 (SRR Ref 5.1)	Failure to deliver Carbon Reduction targets leading to reputation damage and financial penalties (CRC). Possible "tax" impact of £204k.	Carbon Management Plan Cleaner Greener Programme Group MTFS / Five year Capital Strategy Central energy contract Short term additional resource	9	6	The Council has secured short term additional resource to aid delivery of projects from within the carbon management plan. Projects planned for delivery in 2010/11 includes installation of voltage optimisation/reduction technology in at least 10 buildings (equates to saving approx 225 tonnes CO2 per year). This contract has been tendered via Eastern Shires Purchasing Organisation framework agreement and the submitted bids are currently in the process of being evaluated. Other projects include installation of variable speed drives in 4 leisure centres (equates to saving approx 96 tonnes CO2 per year), the implementation of automatic meter reading technology to enable better data management and analysis, new staff induction and training, pool covers, and boiler replacements.		Adrian Slaughter	

IMPACT

Impact Rating	Financial loss to Council	Personal / Staff or Customers	Assets / Physical / Information	Reputation
4	£1m +	Death	Loss of main building / Loss of main ICT system – eg Email / Payroll / network	Adverse publicity nationally HSE / Fire Authority prosecution
3	£250k - £1m	Major injury / hospitalisation / RIDDOR	Partial loss off main building or total loss of minor building. Temporary loss of major ICT system – up to one week, total loss of minor ICT system	Audit Commission CPA score impacted adversely HSE / Fire Authority enforcement action
2	£50k - £250k	Major financial loss £1,000+ Illness eg stress / minor accident	Partial loss of minor building. Temporary loss of minor ICT system – up to one week. Loss of Major system – up to one day	Ombudsman complaint upheld
1	Less than £50k	Minor Financial loss up to £1,000 / complaint / Grievance	Loss of minor ICT system - up to one day	Adverse publicity locally

LIKELIHOOD

Likelihood Rating	Incidents	Probability
4	Very Likely – This risk is presently affecting the Council	81% - 100%
3	Likely – This risk is very likely to affect the Council	51 - 80%
2	Possible – This risk is will possibly affect the Council	21% - 50%
1	Unlikely – This risk is unlikely to affect the Council	0 - 20%

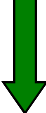





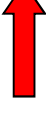
RISK TREATMENT

Risk Level	Risk Score	Escalation	Response
High	8 -16	Leader / Chief Executive & Next available Management Board	Detailed action plan to mitigate the risk by the next available Corporate Board
Medium	4- 6	Chief Executive	Review need for an action plan at next Corporate Board review of the register
Low	1-3	Next Quarterly Review	Monitor at next quarterly review of register

Strategic Risk Register September 2011


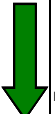






Owner	no change	Corporate Board
Date		01 September 2011

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011	
				Likely-hood	Impact	Score		Likely-hood	Impact	Score				
1 External Influences														
	Economic													
1.1	Rising unemployment in the local economy	Deteriorating global / national economic conditions	Increased nos. on benefit Budget pressure to maintain service levels in some services	2	3	6	Sustainable Community Strategy Council Plan	2	3	6	↓ Reduced Gross and Net likelihood	Head of Policy & Comm + Cllr Anthony Stansfeld	No sign that this is materialising at present	
1.2	Increased demand for Council services, eg benefits, housing needs due to increasing levels of repossession	Rising unemployment	Budget and other resource pressures	2	3	6	Service Planning MTFS Effective resource monitoring	2	2	4	↔ No change	Head of Policy & Comm + Cllr Anthony Stansfeld	No sign that this is an issue at present	
1.3	Voluntary organisations closing	Lack of financial support from sponsors	Increased demand for Council services as voluntary organisations close Adverse PR Reduced community support	2	3	6	Liaison with Empowering West Berkshire MTFS Budget build process	2	3	6	↔ No Change	Head of Policy & Comm + Cllr Graham Jones	DCLG putting pressure on Council's not to cut funding to VO's faster than Council service reductions.	
1.4	Cuts in wider public sector funding	Banking crisis / PSBR Recession	Direct pressure on Council budgets and also indirect eg through cuts in partners funding, eg NHS	4	4	16	MTFS TEB	4	3	12	↔ No change	Chief Executive + Cllr Graham Jones	Impact of cuts now known and will be severe	
1.5	Reduced income for the Council	Recession Reduced interest rates (investment income)	Budget pressure	4	3	12	MTFS TEB	4	2	8	↔ No change	Chief Executive + Cllr Graham Jones		
1.6	Increased inflation	Changing global / national economic conditions	Increase in costs eg Waste Contract, leading to potential service cuts or higher Council Tax Higher wage demands	3	3	9	MTFS Renegotiate contracts	2	3	6	↑ increased net impact	Head of Finance + Cllr Keith Chopping		
1.7	Failure of communications and other utilities and transport hubs	Theft of copper and other metals.	Major disruption to the Council including no phones and no ICT. Significant Disruption to local community Threat to life	3	3	9	MIP BCM Plans Liaison with utilities and TVP	3	2	6		New Risk	Head of ICT & Cllr David Betts	
1.8	Activation of Emergency Mortuary Plan	Major Incident within the district with a large number of deaths	Significant costs to Council in relation to the Emergency Mortuary costs	1	3	3	Joint Berks Plan - scalable	1	2	2		New Risk	Head of Policy & Communication & Cllr Anthony	

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
	Social												
1.7	Increasing levels of crime in the District	Rising unemployment Ineffective enforcement and crime prevention activity	Criminal injury and or damage to property	2	3	6	Effective Community Safety Strategy Effective interagency working Appropriate funding	2	2	4	 reduced gross likelihood	Chief Executive + Safer Communities Partnership+ Cllr Anthony Stansfeld	Crime levels are falling at present
1.8	The public may have a false perception of levels crime in the District	Reporting of crime and disorder issues	Loss of quality of life	3	2	6	Effective Community Safety Strategy Effective interagency working Effective PR / comms	2	2	4	 No Change	Chief Executive + Safer Communities Partnership+ Cllr Anthony Stansfeld	
1.9	Terrorist Action	Action taken by international / local groups against targets in the district	Significant disruption Fatalities / Injuries Reputation	2	4	8	Intelligence/Inter agency working MIP	2	4	8	 Increased Gross likelihood & net likelihood	Head of Policy and Communication + Cllr Anthony Stansfeld	Increased alert status at present
1.10	Social / civil unrest	Government cuts Unemployment Widespread union action	Significant disruption / damage to critical infra structure.	2	2	4	Sustainable Community Strategy Social Inclusion Strategy Council Plan	2	2	4	 Increased Gross likelihood & net likelihood	Chief Executive + Cllr Graham Jones	Possible increase in risk post national riots
	Environmental												
1.11	Flu Pandemic	Spread of new/novel flu virus Lack of effective intervention No or ineffective Vaccines	Significant disruption to Council Services and the Community. Fatalities / Injuries Reputation	2	3	6	Major Incident Plan Business Continuity Management Specific Plans Multi-agency Working Immunisation Weekly coordination meetings Action Plan updated on a regular basis Flu Plan	2	3	6	 reduced gross & net likelihood	Head of Policy & Comm + Cllr Anthony Stansfeld	Risk appears to be diminishing at present, but likelihood remains high in medium term. Still on National Risk Register
1.12	Disruption caused by an outbreak of disease affecting animals, eg foot and mouth	Outbreak / spread of infectious animal disease which may be zoonotic.	Disruption to Council services and the community Fatalities / injuries Reputation	1	3	3	National Monitoring system MIP Specific animal disease and welfare plans Multi-agency working Vaccinations	1	3	3	 reduced gross likelihood	Head of Planning and Countryside + Alan Law	No threats apparent at present
1.13	Adverse weather - drought, flooding, storms, heatwave and snow/ice.	Building on flood plain Severe weather Defective drainage Climate Change	Significant disruption to Council Services and the Community. Fatalities / injuries Reputation	3	4	12	MIP Multi-agency working including Flood Action Group and TV LRF Adverse Weather Group Planning process including SUDS Drainage systems owned by Council part of routine maintenance programme Specific plans kept up to date - Winter Maintenance Plan - Adverse Weather Plan	3	2	6	 Increased net likelihood	Head of Planning & Countryside & Highways & Transport. + Cllrs Hilary Cole, Alan Law and David Betts	Adverse weather is a top 5 on National register. Seasonal issues include prolonged period of little rain - potential for drought in area in 2012 if another dry winter.



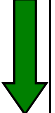



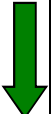
No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
1.14	Incident at AWE / PSD/Welford / or similar establishment	Security breach Radiation emergency Accident at site	Significant disruption Fatalities / injuries Reputation	1	4	4	MIP Site Specific Plans Multi-agency Working Regular Exercises (multi-agency) Off-site Multi-agency Planning Groups	1	3	3	No Change	Head of Policy & Communication + Cllr Anthony Stansfeld	
1.15	Fuel shortages	Disruption to supplies - due to local disputes in UK or civil unrest in oil producing countries. Rising petrol prices	Disruption to Council services and the community Reputation Civil unrest	3	3	9	MIP Fuel Plan Multi-agency Working	3	2	6	Increased net and gross likelihood	Head of Policy & Communication + Cllr Anthony Stansfeld	Continuing price rises and unrest in oil producing countries
Political													
1.16	Intervention by Central Government or other regulatory body	Poor service performance / corporate governance Statutory obligations not met	Legal challenge Government intervention Compensation Major reputation damage	1	2	2	Sustainable Community Strategy Council Plan Effective performance management MTFS	1	2	2	reduced likelihood gross risk	Chief Executive + Cllr Graham Jones	
2 Strategy and Business Planning													
Strategic Planning													
2.1	Failure to deliver outcomes on Council Plan	Poor leadership Poor planning Inadequate resources Weak performance management	Service delivery failure Major reputation damage Potential Intervention	3	3	9	Effective service planning Effective performance management Effective resource planning Effective risk management	3	2	6	Increase in Gross & Net Likelihood	Head of Policy & Comm + Cllr Graham Jones	Impact of cuts means delivery is under threat
2.2	Failure to identify potential weak service delivery areas	Weak performance management	Waste / Inefficiency	1	3	3	Effective performance management system in place	1	2	2	No Change	Corp Dir (Env) + Cllr Anthony Stansfeld	
2.3	Failure in long term planning	Failure to see demographic and other external changes Poor / weak leadership Legislative changes	Poor service delivery Inappropriate service delivery Intervention Budget difficulties Major reputation damage	1	3	3	Sustainable Community Strategy Council Plan Effective performance management MTFS District Profile Consultation Strategy	1	2	2	No Change	Chief Executive + Cllr Graham Jones	
New Government Initiatives													
2.4	Public Health responsibility is being transferred to Local Government	Failure to project manage the change process Opportunity for improved services through more joined up working	Poor service delivery Reputation damage	3	3	9	Resources will transfer Staff will TUPE over	3	2	6	Increase in Gross & Net Likelihood	Chief Executive + Cllr Graham Jones	
2.5	Changes to entitlement to Benefits	Capping of the levels of benefit are proposed	May lead to increased numbers of homelessness as people are unable to afford the high rent levels in the district.	3	3	9		3	2	6	Increase in Gross & Net Likelihood	Head of Housing and Performance + Cllr Alan Law	





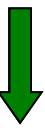


No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
2.6	Place based budgets	Failure to work effectively with other local partners Opportunity to develop a more joined up approach to service delivery	Service delivery failure	3	3	9	Effective project planning Working with partners	3	2	6	↑ Increase in Gross & Net Likelihood	Head of Finance + Cllr Keith Chopping	
2.7	Changed Governance for Schools	Schools opting for Academy status	Impact on funding for schools that remain with the Council Impact on funding for Council services to schools Reduced levels of risk to the Council from schools, eg H&S and Insurance	4	2	8	Marketing services to Academies MTFS Schools Funding Formula review	4	2	8	↔ No Change	CD CYP and Cllr Irene Neil	
2.8	Personal Budgets and associated service changes	Poor information planning and forecasting Overspending Poor project management	Service delivery failure Impact on the Council's overall financial position	4	3	12	Increased funding from central government. MTFS TEB	3	3	9	↔ No Change	CD CS + Cllr Joe Mooney	
2.9	Abolition of PCT's	Uncertainty over roles and responsibilities	Service breakdown Poor reputation Cost implications of some responsibilities eg Radiation Monitoring Units to be set up in emergencies.	3	3	9	GP Commissioning groups	3	2	6	↑ Increase in Gross & Net Likelihood	CD CS + Cllr Joe Mooney	
Finance Revenue													
2.10	Inaccurate or unreliable financial planning	Changes in Government funding Changing external economic conditions Poor / unrealistic modelling	Unplanned cuts in services Higher Council Tax Major reputation damage	2	3	6	MTFS includes sensitivity analysis Budget monitoring Financial rules of procedure Strong governance and controls TEP	2	3	6	↑ Increased gross impact & net likelihood and impact	Head of Finance + Cllr Keith Chopping	Volatility caused by changes in DCLG methods
2.11	Overspend in Adults Social Care	Income targets not being met Poor budgetary control Inaccurate / Inadequate data Overspending Ineffective systems ie RAISE	Lack of resources impacting on service delivery Major reputation damage	4	4	16	MTFS including allowance for contingencies Effective budget monitoring in place Financial rules of procedure Strong governance and controls	3	3	9	↔ No Change	CD CS + Cllr Joe Mooney	
2.12	Tax Base not rising in line with expectations	Recessionary impact on house building	Reduced income - potentially higher Council Tax	3	3	9	Set a prudent but realistic projection Undertake sensitivity analysis. Monitor through TEP Planning policy re new build	2	2	4	↑ Increased gross likelihood	Head of Finance + Cllr Keith Chopping	
2.13	Local Government Finance Settlement Settlement -	Front loaded cuts of 28%	Higher Council Tax Service cuts	4	4	16	MTFS including sensitivity analysis TEB Tight financial management	3	4	12	↔ No Change	Head of Finance + Cllr Keith Chopping	

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
2.14	Investment Income	Changing global or national economic conditions Bank of England setting low rates	Potential reduced level of capital funding	1	2	2	Five year Capital Strategy and Programme MTFS with sensitivity analysis TEP	1	1	1	 No Change	Head of Finance + Cllr Keith Chopping	Slippage continues
Finance Capital													
2.15	Size / scale of programme of previous years is no longer affordable	Revenue funding of borrowing may be inadequate to support previous levels of capital spending	range of impacts on service delivery	3	3	9	MTFS 5 year Capital Strategy	2	2	4	 reduced net likelihood	CD ES + Cllr Keith Chopping	
2.16	Delivery of the Capital Programme - Education / Schools	Unrealistic timescales Poor budgeting and profiling Poor project planning Poor Project Management	Projects not completed on time or to specification Overspend leading to reductions in other projects Major reputation damage	3	3	9	Five year Capital Strategy and Programme Adhering to Contract Rules and Procedures MTFS	2	2	4	 no change	CD CYP + Cllr Keith Chopping	
2.17	Delivery of the Capital Programme - Highways	Unrealistic timescales Poor budgeting and profiling Poor project planning Poor Project Management Government cuts	Projects not completed on time or to specification Overspend leading to reductions in other projects Major reputation damage	2	3	6	Five year Capital Strategy and Programme PMM Adhering to Contract Rules and Procedures MTFS	2	2	4	 no change	CD ES + Cllr Keith Chopping	
2.18	Delivery of the Capital Programme - ICT	Unrealistic timescales Poor budgeting and profiling Poor project planning Poor Project Management	Projects not completed on time or to specification Overspend leading to reductions in other projects Major reputation damage	2	3	6	Five year Capital Strategy and Programme Adhering to Contract Rules and Procedures MTFS PMM ITSB	2	2	4	 no change	Head of Finance + Cllr Keith Chopping	
HR													
2.19	Unable to recruit and retain staff	Tight local labour market Council's reputation Ineffective recruitment procedures Unattractive remuneration and rewards	Increased costs Lack of service continuity Inefficiency Service delivery problems	1	2	2	Regular benchmarking HR Policies / management Business Continuity Plans	1	1	1	 No Change	Head of HR + Cllr Anthony Stansfeld	
2.20	Strike action	Poor pay award cuts	Disruption to service delivery Major reputation damage Implications for local community	3	3	9	Good industrial relations policy and practice Business Continuity Plans Major Incident Plans	2	2	4	 No Change	Head of HR + Cllr Anthony Stansfeld	
2.21	Ineffective home / flexible working	Poor management Lack of appropriate risk assessments Failure of technology	Service disruption and poorer service delivery Potential ICT and health and safety issues	1	3	3	Sound policies and procedures Effective management practice	1	2	2	 No Change	Head of HR + Cllr Anthony Stansfeld	

Appendix C




No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011	
				Likely-hood	Impact	Score		Likely-hood	Impact	Score				
2.22	Over reliance of key individuals	Staffing reductions is leaving the council dependent of key individuals - limited resilience	Service failure	3	4	12	Succession planning cross working to allow spread of knowledge Identification of key individuals	3	3	9		No Change	Head of HR + Cllr Anthony Stansfeld	Clear ownership by the Executive is expected to minimise the impact
2.23	Management of staffing reductions	The need to make significant budget reductions means that staffing levels are having to be cut	Service delivery disruption Reduced capacity Possible reputation damage Grievances	4	3	12	Good industrial working policy Effective grievance procedure HR Organisational Change Policy Redeployment policy	2	2	4		No Change	Chief Exc + Cllr Graham Jones	
Poor PR outcomes														
2.24	Bad news stories in the local media	Poor service delivery; non-alert of PR service to potential bad news by officers; financial savings agenda.	Reputation damage and reduced level of satisfaction with council services.	3	3	9	Members and officers ensure optimum service delivery; continual liaison among members and officers of potential issues; public explanation of the need to make savings or changes.	3	2	6		Increased across all areas	Head Policy & Comm + Cllr Anthony Stansfeld	
2.27	Ineffective promotion of the good work carried out by the Council	Ineffective communication within the council to co-ordinate output of good news.	Reduced levels of satisfaction with council services.	3	3	9	Communication Strategy Pro-active management of PR	2	2	4		Increased across all areas	Head Policy & Comm + Cllr Anthony Stansfeld	
Corporate Governance														
Decision making														
3.1	Code of Conduct not applied	Inappropriate behaviour by Managers or Members	Reputation damage Legal Action Fatality / Injury	2	3	6	Code of conduct Sound recruitment and retention policies and practices CRB Checks Effective performance management Training for Members on Code of Conduct	1	2	2		No Change	Chief Executive + Cllr Graham Jones	
3.2	Poor / inappropriate decisions	Lack of full information for decision making	Legal Challenge Compensation Reputation damage	2	3	6	Effective Governance arrangements including sound Constitution Effective Finance and Governance Group Effective performance management	1	2	2		No Change	Head of Legal & Electoral + Cllr Graham Jones	
Performance Monitoring														
3.3	Poor performance management	Inadequate PM systems Poor data quality Poor PI's	Poor decisions	2	2	4	Adherence to performance management policies and practices ILM training Internal audit of data HR monitoring of appraisals	1	2	2		No Change	Head of Policy & Comm+ Cllr Anthony Stansfeld	
3.4	Poor scrutiny	Lack of resources Lack of Member engagement	Inferior decisions Potential regulation Reputation damage	2	2	4	Training Work programme Alignment with the Executive work programme Effective resourcing and support	1	2	2		No Change	Head of Policy & Comms + Cllr Anthony Stansfeld	

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
3.5	Risk of ineffective risk management	Lack of engagement by managers Lack of resources	Reduced CPA scores Major reputation damage Service delivery and / or project failure	2	2	4	Audit Trail Corporate Board Governance & Audit Committee Annual Governance Statement	1	2	2	 No Change	Chief Executive + Cllr Anthony Stansfeld	
3.6	Inadequate Business Continuity Management	Poor service planning Lack of BCP	Service delivery failures Major reputation damage	2	3	6	Business Continuity Plans monitored and tested on regular basis.	1	3	3	 No Change	Head of Policy and Communication + Cllr Anthony Stansfeld	
Health & Safety													
3.7	General health and safety of staff and customers compromised	Lack of proactively by managers Poor advice and support by Health and Safety Team	Injury / death Civil action Insurance / financial losses Major reputation damage Potential corporate manslaughter charges Enforcement action / prosecution by HSE	4	3	12	Effective School Service Safety Management System in place Health and safety Strategy Risk Strategy Group Effective performance management Effective School Support Service FLASH reporting	2	3	6	 Reduced net likelihood and impact	Chief Executive + Cllr Keith Chopping	
3.8	An outbreak of Legionella	Failure to manage and test water systems Failure to undertake regular surveys	Injury / death Civil action Insurance / financial losses Major reputation damage Potential corporate manslaughter charges Enforcement action / prosecution by HSE	2	4	8	Effective management arrangements through Responsible Person Training Compliance auditing Legionella Policy and Procedure	2	3	6	 No Change	Chief Executive + Head of Property + Cllr Keith Chopping	
3.9	Exposure of staff or clients to asbestos	Failure to undertake regular surveys Failure to manage works on sites containing asbestos	Injury / death Civil action Insurance / financial losses Major reputation damage Potential corporate manslaughter charges Enforcement action / prosecution by HSE	2	4	8	Asbestos Register Effective management arrangements through Responsible Person Training Compliance auditing Asbestos Policy and Procedure	2	3	6	 No Change	Chief Executive + Head of Property + Cllr Keith Chopping	
3.10	Fire occurring in the Council's buildings	Failure to manage fire safety	Injury / death Civil action Insurance / financial losses Major reputation damage Potential corporate manslaughter charges Enforcement action / prosecution by HSE	3	3	9	Contract set up for fire risk assessments Compliance Officer in H&S Team active Responsible Person training in place Capital Programme - Fire Remedial Works Effective local management systems in place Arson Policy	2	3	6	 No Change	Chief Executive + Head of Property + Cllr Keith Chopping	
Security													
3.10	Loss of confidential information	Loss / Theft of ICT equipment containing data; Unauthorised access to ICT equipment; Loss/theft of WBC paper documents; Malicious hacking; Inadvertent disclosures; Social engineering; etc	Reputation damage Legal Action Costs Litigation	4	3	12	IT Security controls and policy GCSX Controls Hard disc encryption	2	3	6	 Reduced net likelihood	Head of ICT + Cllr David Betts	

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
3.11	Failure to manage contractors	Contractor in liquidation Failure to Perform Failure to comply with EU procurement directives	Impact on Service Delivery Impact on Council's reputation	4	3	12	Contingency Planning Effective Contract monitoring procedures	4	2	8	 Increased across all areas	Head of Adults + Cllr Joe Mooney	Southern Cross
4 Technology													
4.1	Interruption in ICT service	Power failure	Service delivery failures	2	3	6	BCP in place / reviewed regularly ICT Strategy Generator in place and working for data centre	1	3	3	 No Change	Head of ICT + Cllr David Betts	
4.2	Loss of ICT systems	Hardware / software failure	Service delivery / failures	3	1	3	BCP in place / reviewed regularly ICT Strategy	2	1	2	 No Change	Head of ICT + Cllr David Betts	
4.3	Obsolescence in ICT	Lack of resources Investing in wrong Technology Insufficient investment Government Connect fails	Lost Resources Ineffective service delivery or service failure Lack of compatibility Poor reputation / lack of access to data	3	2	6	Five Year Capital Strategy and Programme ICT Strategy Effective ICT Strategy Board	1	1	1	 no change	Head of ICT + Cllr David Betts	
5 Specific Service Delivery Issues													
5.1	Failure to deliver Carbon reduction targets	Measures not effective Inadequate resources	Carbon footprint does not fall Reputation damage	3	3	9	Green Strategy Effective work programme MTFS / Five year Capital Strategy and Programme	3	2	6	 Reduced net impact	Corp Dir (Env) + Cllr Anthony Stansfeld	
5.2	Increasing numbers of poorly performing schools	Poor leadership within schools Inadequate teaching	Poor quality education. Intervention Reputation damage	4	3	12	School Improvement Service Monitoring and support processes School Improvement risk assessment and intervention approach	3	2	6	 Reduced net likelihood	Corp Dir (CYP) + Cllr Irene Neil	
6 Failure to Deliver / Manage Major Projects													
6.1	Shaw House Phases 2 (Trinity Sports Hall) does not proceed	Failure to complete land assembly Inadequate budget	Delay / Overspend Re-scoping of project not delivered Major reputation damage	3	3	9	Land assembly in place Effective project planning Resource plans and contingency in place Effective communication plan	2	3	6	 no change	Corp Dir (Comm Serv) + Cllr Gordon Lundie	

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
6.2	The Park Way redevelopment fails	Economic viability	Delay / Overspend Major reputation damage Project collapse	1	3	3	Limited at this stage - being delivered by third party	1	2	2	no change	Chief Exc + Cllr Pamela Bale	
6.3	Market St Redevelopment does not proceed	Economic viability	Delay / Overspend Reputation damage Project collapse	3	2	6	Conditional Development Agreement agreed	2	2	4	no change	Chief Exc + Cllr ??	
6.4	Development of Padworth - (off site works)	Contract works for site assembly	Significant financial impact Service delivery Major reputation damage	2	3	6	Effective contractual project management	2	2	4	no change	Corp Dir (Env) Cllr Hilary Cole	
6.5	AWE Redevelopment stalls	Government change of policy	Public disorder Government Intervention Impact on employment	2	3	6	Consultation / robust planning process Regular meetings with AWE	2	2	4	No Change	Head of Planning & Countryside+ Cllr Alan Law	
	Winchcombe School	Major spend of £5m	Major reputation damage School disruption Financial loss	2	3	6	Effective governance arrangements Effective monitoring of cost / variations	2	2	4	New Risk	Corp Dir C&YP + Cllr Irene Neil	
6.6	Brookfields and Denefield redevelopment	Failure to deliver 1. Budget 2. Project Planning 3. Continued Operation of schools	Major reputation damage School disruption Financial loss	2	3	6	Effective governance arrangements Effective monitoring of cost / variations	2	2	4	no change	Corp Dir C&YP + Cllr Irene Neul	
7	Assets												
7.1	Failure to make effective use of assets	Poor information re assets	Increased costs Lost income opportunity	3	3	9	Asset Management Plan	2	3	6	no change	CD ES + Cllr Keith Chopping	
8	Failure to Deliver Partnerships												
8.1	Poor direction from the West Berkshire Partnership Management Board	Lack of sound governance Poor Management Unachievable targets Poor performance / risk management	Failure to deliver agreed outcomes by the different partnerships	2	2	4	WB Partnership Management Board Sub-Partnership Action Plans Sub-Partnership Performance Management	1	2	2	no change	Chief Executive + Cllr Pamela Bale	
8.2	Safer Communities Partnership - Failure to deliver outcomes	Lack of sound governance Poor Management Poor communication	Poor response to anti-social behaviour Increased crime by known offender Increasing incidents of domestic abuse. Lack of confidence that crime and ASB are being tackled effectively. Increased crime committed by young people.	2	2	4	WB Partnership Management Board Sub-Partnership Action Plans Sub-Partnership Performance Management	1	2	2	no change	Chief Executive + Cllr Anthony Stansfeld	

Appendix C

No	Risk / Issue of concern	Cause / Trigger	Consequences	Gross Rating			Controls	Net Rating			Change since last review	Owner	Comments as at September 2011
				Likely-hood	Impact	Score		Likely-hood	Impact	Score			
8.3	Children and Young Peoples Trust - Failure to deliver outcomes	Lack of sound governance Poor Management Unachievable targets Demand outstripping resources	Increasing need for Child Protection Services. Lower levels of achievement for young people, including increasing number of NEET's. Rising teenage pregnancy rates and increased transmission of STI's in young people	2	2	4	WB Partnership Management Board Sub-Partnership Action Plans Sub-Partnership Performance Management	1	2	2	 no change	Corp Dir (CYP) + Cllr Gordon Lundie	
8.4	Greener Partnership - Failure to deliver outcomes	Lack of sound governance Poor Management Unachievable targets	Carbon footprint increases Fall in use of local resources Waste management not sustainable Reduced green travel	2	2	4	WB Partnership Management Board Sub-Partnership Action Plans Sub-Partnership Performance Management	2	2	4	 no change	Corp Dir (ES) + Cllr Hilary Cole	
8.5	Skills and Enterprise Partnership - Failure to deliver outcomes	Lack of sound governance Poor Management Unachievable targets	Skills and enterprise barriers increase for local employers in employing local people Lack of apprenticeship availability SME's not supported in skills and enterprise issues	2	2	4	WB Partnership Management Board Sub-Partnership Action Plans Sub-Partnership Performance Management	1	2	2	 no change	Corp Dir (CYP) + Cllr Keith Chopping	

Title of Report:	Resource Management Working Group Work Programme
Report to be considered by:	Resource Management Working Group
Date of Meeting:	27 September 2011

Purpose of Report: To consider and prioritise the work programme for the municipal year 2011/12.

Recommended Action: To consider the current items and discuss any future areas for scrutiny.

Resource Management Working Group Chairman	
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Contact Officer Details	
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Executive Report

1. Introduction

- 1.1 Members are requested to consider the latest work programme attached at Appendix A. In addition, Members are asked to give consideration to future areas for scrutiny.

Appendices

Appendix A – Resource Management Working Group Work Programme

Consultees

Local Stakeholders:

Officers Consulted: Head of Finance, Scrutiny and Partnerships Manager

Trade Union: N/A

OVERVIEW & SCRUTINY MANAGEMENT COMMISSION WORK PROGRAMME 2011/12

Reference	Subject/purpose	Methodology	Expected outcome	Review Body	Dates	Lead Officer(s)/ Service Area	Portfolio Holder(s)	Status: In Progress Completed	Comments
OSMC/09/57	Revenue and capital budget reports To receive the latest period revenue and capital budget reports To consider any areas of concern.	Information supplied by, and questioning of, lead officer via in meeting review	Monitoring item	RMWG	Start: 13/09/10 End: Each Quarter	Andy Walker – 2433 Finance	Councillor Keith Chopping	In Progress	May lead to areas for in depth review.
OSMC/09/63	Establishment Reports To receive the latest report on the changes to the Council's establishment.	Information supplied by, and questioning of, lead officer via in meeting review	Monitoring item	RMWG	Start: 13/09/10 End: Each Quarter	Robert O'Reilly – 2358 Human Resources	Councillor Anthony Stansfeld	In Progress	May lead to areas for in depth review.
OSMC/11/98	Legal and Electoral Services Budget To discuss budget pressures within this service area.	In meeting review with information supplied by, and questioning of, lead officers.		RMWG	Start: June 2011 End: Sep 2011	David Holling Legal & Electoral Services	Councillor Anthony Stansfeld	In Progress	Requested by RMSC on 14 December 2010.
OSMC/11/99	Highways Asset Management Plan To review the AMP and the highways land contained within it.	In meeting review with information supplied by, and questioning of, lead officers.		RMWG	Start: July 2011 End: Jan 2012	Mark Edwards – 2208 Highways & Transport	Councillor David Betts	To be scheduled	Requested by RMSC on 14 December 2010.
OSMC/11/109	Timelord To receive an update on the Timelord changes following Phase 3.	In meeting review and update Members of the Timelord Phase 3 development		RMWG	Start: July 2011 End: Sep 2011	Jackie Jordan	Councillor Pam Bale	In Progress	Requested by RMWG on 26 July 2011
OSMC/11/110	Energy Saving To review the Council's policies and procedures for Energy Saving.	In a meeting review the Council's procedures to Energy Saving		RMWG	Start: July 2011 End: Nov 2011	Adrian Slaughter	Councillor Hilary Cole	In Progress	Requested by RMWG on 26 July 2011.
OSMC/11/111	Risk Register To scrutinise individual items on the Risk Register.	In meeting review and scrutinise individual items on Risk Register.		RMWG	Start: July 2011 End: On-going	Ian Priestley	Councillor David Betts	In Progress	Requested by RMWG on 26 July 2011
OSMC/11/112	Medium Term Financial Strategy To review the MTFS	In meeting review of the MTFS		RMWG	Start: July 2011 End: Nov 2011	Andy Walker	Councillor Keith Chopping	In Progress	Requested by RMWG on 26 July 2011

OVERVIEW & SCRUTINY MANAGEMENT COMMISSION WORK PROGRAMME 2011/12

Reference	Subject/purpose	Methodology	Expected outcome	Review Body	Dates	Lead Officer(s)/ Service Area	Portfolio Holder(s)	Status:	
								In Progress	Completed
OSMC/11/113	Procedures for Blue Badge Holder To review the procedures, criteria and rules of use for Blue Badge holders.	In meeting review.		RMWG	Start: July 2011 End: Nov 2011	Mark Edwards	Councillor David Betts	In Progress	Requested by RMWG on 26 July 2011
OSMC/11/116	Parkway To scrutinise the areas of car parking and affordable housing allocated under the Parkway development	In meeting review.		RMWG	Start Nov 2011 End TBC	David Holling Legal & Electoral Services Andy Walker	Cllr Pam Bale		

Key:

OSMC Overview and Scrutiny Management Commission
HSP Health Scrutiny Panel
RMWG Resource Management Working Group

Scheduled Meetings Dates

20/09/11	01/11/11	10/01/12	21/02/12	17/04/12	29/05/12
04/10/11	17/01/12	27/03/12			
27/09/11	08/11/11	17/01/12	28/02/12	24/04/12	