

## REPORT TO AUDIT AND PERFORMANCE REVIEW PANEL

Title: **ANNUAL REVIEW OF RISK MANAGEMENT STRATEGY & 2008/9 RISK MANAGEMENT STRATEGY**

Date: **10 September 2008**

Member Reporting: **Councillor D McBride**

Contact Officer(s): **Catherine Hickman, Head of Audit and Review  
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Wards Affected: **All Wards**

### 1. SUMMARY

1.1 This report makes Members aware of the developments in Corporate Risk Management during the period 1st August 2007 to 31st August 2008 in compliance with the requirements of good Corporate Governance. In addition, the 2008/9 Risk Management Strategy is presented for approval. This report includes:

- An overview of the risk management work and achievements in the reporting year (1 August 2007 to 31 August 2008), including progress made on the development of the Corporate Risk Register in respect of the Council's key strategic and operational risks.
- The Council's 2008/9 Risk Management Strategy.
- The risk management work plan for the next 12 months.

### 2. RECOMMENDATION:

**That the findings of this report on the annual review of the Council's Risk Management Strategy are noted and the 2008/9 Risk Management Strategy be considered and approved.**

What will be different for residents as a result of this decision?

As a result of specific actions to identify and manage the Council's significant business risks the Council will be able to demonstrate improved operational stability and consistency, improve its organisational image, receive fewer complaints and increase Customer satisfaction.

### 3. SUPPORTING INFORMATION

#### Background

3.1 Risk Management is a key element in the Council's governance arrangements and control environment.

#### **Risk Management Developments since last report to Cabinet (23rd August 2007)**

3.2 Table 1 details the key successes in developing the risk management framework since the last report to Cabinet on the 23rd August 2007 and the Corporate Services Overview and Scrutiny Panel on the 18th July 2007.

**Table 1: 2007/08 Risk Management Developments**

Success	
1	Quarterly risk management reporting to Directors' Group and the Audit and Performance Review Panel.
2	Appointment of Senior Officers as Risk Champions and development of Risk Marshals.
3	Appointment of the Chair of the Audit and Performance Review Panel as the Member Risk Champion.
4	The Audit Commission's Comprehensive Performance Assessment (CPA) Use of Resources Key Lines of Enquiry for 2008 states, " <i>all members receive risk management awareness training appropriate to their needs and responsibilities</i> ". In order to meet this requirement, three training sessions were held for a) The Audit and Performance Review Panel on 11th February 2008, b) Cabinet on 13th March 2008 and c) as part of All Member training on 8th July 2008. Targeted Risk Management Training was also held for: <ul style="list-style-type: none"> <li>• Parks and Open Spaces staff and term contractors, 20th February 2008</li> <li>• Leisure Centres Staff, 19th May 2008 and 21st July 2008</li> <li>• Risk Champions, 10th October 2007</li> <li>• Business Improvement Unit Project Managers, 29th July 2008</li> </ul>
5	Provision of a web-enabled version of the Corporate Risk Register so that all Risk Champions, Risk Marshals and Risk Owners have direct access to the system used to manage and record Council risks.
6	Risk management training automatically included in the staff induction process from 1st April 2008 and Risk Management also forms part of Management Appraisals.
7	The creation of quarterly Risk Management Group meetings as a forum for Risk Champions. The main purpose of the Group is to ensure a formal framework for the management of risks at a corporate and operational level through the use of the Risk Management Strategy and Risk Registers.

8	Maintenance of strong links with other councils. The Insurance and Risk Manager attends and is Chair of the ALARM <sup>1</sup> South East Group, which meets on a quarterly basis. The main aim of this group is to share and disseminate good practice, and it has proved to be a very useful forum.
9	Increased detail of Risk Assessments in reports for all panels that make decisions with this element made mandatory for all reports from 1st April 2008 <sup>2</sup> .
10	In July 2008 the Council's Fraud Risk Assessment Matrix was judged as "Highly Commended" by ALARM in its 2008 Risk Management Awards. The Matrix enables the Council to demonstrate how the risk of fraud and corruption is specifically considered as part of its overall risk management process. The results of the fraud risk assessment for each Service Area forms an integral part of that Service Area's Corporate Risk Register profile.

### Progress on the Development of the Corporate Risk Register

- 3.3 The Corporate Risk Register records the risks that relate to the achievement of the Council's objectives. This tool is accessible to all Risk Owners who have various updating and viewing privileges, depending on their position in the Council hierarchy with regard to the management of the risk/s in question. All risks are mapped onto either the Operational or Strategic Corporate Plan. The purpose of the Risk Register is twofold:
- i. To highlight those risks that Directors identify as 'over-arching' which require a Corporate response. These typically revolve around the 'political interface' for RBWM with Central Government. Some 'directorate' risks are also included in a Key Strategic Risk report in Appendix A, where it is felt that failure could seriously compromise the whole Council. This report forms part of the quarterly reporting process to the Audit and Performance Review Panel.
  - ii. To highlight those risks specific to Operational activities of Service Areas within Directorates where failure carries catastrophic impacts.
- 3.4 Strategic risks are those risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Council and will often impact across the entire or significant portions of the organisation. Strategic risks are by their very nature best identified by those in the most senior positions, whose role entails policy and strategic decision-making.
- 3.5 The outcomes of the process of identifying the Council's priorities for the coming year will likely necessitate a revision of the Council's strategic risks to ensure that the strategic risk management framework is both relevant and sufficiently robust in the context of mitigating risks to key Corporate objectives.

<sup>1</sup> The national body responsible for promoting best practice in the management of risk within the public sector.

<sup>2</sup> Item 38/07 on Minutes of Audit and Performance Review Panel 12/03/08

- 3.6 One of the key developments for the last year was the introduction of quarterly risk management reports to Directors' Group and the Audit and Performance Review Panel. The first quarterly report was made to the Panel on 26th September 2007. Quarterly reporting to Members with the responsibility for risk management issues complies with both Audit Commission guidance on best practice and the principles of good Corporate Governance and provides assurance that risk is being effectively managed. The reports detail the controls used to mitigate the risk and the progress towards successfully implementing these measures.
- 3.7 A named Council Officer and a Lead Member own all key risks jointly to ensure sufficient priority and attention is given towards controls. Appendices to this report detail the Council's Key Risks as follows:

Appendix

- A Key Strategic Risks
- B Current Key Operational Risks for Corporate Services
- C Current Key Operational Risks for Community Services
- D Current Key Operational Risks for Learning and Care
- E Explanation of Information Captured by the Key Risk Reports

**2008/09 Risk Management Strategy**

- 3.8 The Council periodically reviews its Risk Management Strategy to ensure that it continues to be fit for purpose. The revised Risk Management Strategy for 2008/09 (Appendix F) reflects both current and future developments in the Risk Management Framework. For reference, a note of the differences to the most recent Strategy - which is from 2002 - is also contained in Appendix F(iv). The key changes are:
- reflecting the Council successes to date in embedding Risk Management and developing a strong Risk Management Framework.
  - recognising the importance of Member engagement in the Risk Management process.
  - aligning Risk Management with Corporate business processes and decision-making.
  - recognising the need to provide appropriate training for both Members and Officers.
- 3.9 Risk Management is being developed within the Authority. A programme of identification and assessment of risks was started in 2003 and the Corporate Risk Register records the evaluation of all risks identified.

**Risk Management Work Plan 2008 - 10**

- 3.10 Appendix G presents the 2008-10 Risk Management Service Delivery Work Plan for Risk Management.

## 4. OPTIONS AVAILABLE AND RISK ASSESSMENT

### 4.1 Options

	<b>Option</b>	<b>Comments</b>	<b>Financial Implications</b>
1.	Note the findings of this report on the annual review of the Council's Risk Management Strategy. Consider and approve the 2008/9 Risk Management Strategy.	The Council must demonstrate that its Annual Governance Statement complies with Regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of an Annual Governance Statement. This includes, as one of its core principles, a requirement for the Council to demonstrate how it manages risk and ensures that it has a system of controls that are key in mitigating risks that may affect the achievement of the Council's objectives.	Revenue Officer time in dealing with operation of Risk Management Strategy. Capital None
2.	Not approve 2008/9 Risk Management Strategy.	This may expose the Authority to unnecessary risks by not having an adequate internal control framework leading to poor performance, poor outcomes for service users/citizens and a specific attributable negative impact on the Council's Comprehensive Performance Assessment / Corporate Area Assessment.	Revenue Inappropriate expenditure on aspects of business with uncontrolled risks attached to them. Capital None

### 4.2 Risk Assessment

- 4.2.1 If Risk Management is not made part of "business as usual" for Council officers, this may lead to the Council's self-assessment of Risk Management indicating a weakness in embedding the process. Specific and measurable parts of the

Comprehensive Performance Assessment (CPA) promote and persuade officers of the significance and value of the Risk Management process.

- 4.2.2 An absence of Member support for Risk Management would be viewed as disappointing by the Audit Commission, impacting on the Council’s CPA score. The regular reporting structure and scrutiny process ought to provide a robust framework for managing risk.
- 4.2.3 There is the general risk that if the Council fails to make good use of the management of risk processes it is likely to lead to uncontrolled exposure to many high level strategic and operational risks. As Risk Management becomes a management competency, part of staff skills set and part of Council business as usual the regular reporting and assessment structure ought to provide a robust framework for managing risk.

**5. CONSULTATIONS CARRIED OUT**

- 5.1 Consultations have taken place with the Audit Commission, Audit and Performance Review Panel, Directors’ Group, Audit and Review Unit, Risk Champions and Unit Managers through Directorate Management Teams.
- 5.2 Best practice advice has been sought through ALARM. Significant parts of the Council’s “Risk Managed” guide for managers were included in the ALARM national Risk Management process, which is now utilised by the majority of UK public sector bodies.

**6. IMPLICATIONS**

The following implications have been addressed where indicated below.

Financial	Legal	Human Rights Act	Planning	Sustainable Development	Diversity & Equality
N/A	N/A <sup>3</sup>	N/A <sup>5</sup>	N/A	N/A	N/A

Background Papers:

Annual review of Council Risk Management Strategy - Minutes of Cabinet 22/08/02, 24/07/03, 22/07/04, 28/07/05, 27/07/06, 23/08/07

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<sup>3</sup> There may be implications in terms of implementing the risk control measures in Appendices A - D

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

<b>Key Risk</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>KSR1. Inadequate Retention and Recruitment of quality Staff.</p>	<p>a. Regular Management Information monitoring reports by HR on levels of absence, turnover by Directorate and turnover by reason for leaving the Council’s employ</p> <p>b. Use of Golden Handcuffs<sup>2</sup>, where appropriate.</p> <p>c. Menu of Benefits, Flexible Working Strategy, e.g. part time, job share, term time only, home working, leave schemes, flexi-time, etc.</p> <p>d. Flexi-retirement proposal paper presented.</p> <p><b>Current Status of Treatment Measures</b></p> <p>a. Implementation of Trent has put certain aspects of this on “hold” but Cllr Burbage continues to receive significant information in the meantime.</p> <p>b. In place.</p> <p>c. In place.</p> <p>d. This paper approved by Employment Panel 29<sup>th</sup> August 2007.</p> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Consultation of Officers effected to ensure correct understanding of reasons and methods for intended changes in Council operations as affecting employment.</li> <li>• Consider employee motivation and feelgood factors e.g. feeling part of a quality organisation, management style, performance management, recognition, learning &amp; development, career planning</li> </ul> <p><b>Performance Measures -See “a” above</b></p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Major/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>            Financial: Minor/Unlikely            Legislation: Minor/Unlikely            Reputation: Minor/Unlikely            Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Minor/Unlikely            Legislation: Minor/Unlikely            Reputation: Minor/Unlikely            Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> <li>• Carol Naismith (Head of Human Resources)</li> <li>• Councillor Burbage</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> September 2008</p>

<sup>1</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

## Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>3</sup>
<p>KSR2. Securing commitment to change / change management failure, including lack of or inappropriate consultation with officers to necessitate change across the Council.</p>	<p>a. Widespread communication and officer consultation.</p> <p>b. Chatback magazine and Team Briefing publications.</p> <p>c. Involvement of staff at all levels in working groups linked to the change programme.</p> <p>d. Carefully planned consultation on key changes.</p> <p>e. Chief Whip role will help to oversee this.</p> <p><b>Current Status of Treatment Measures</b> All in place</p> <p><b>Actions since last review</b> None</p> <p><b>Performance Measures</b> None</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Minor/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p>	<ul style="list-style-type: none"> <li>• Ian Trenholm, Chief Executive</li> <li>• Councillor Burbage</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last review: 18<sup>th</sup> June 2008</p>

<sup>2</sup> Golden Handcuffs: an incentive given to existing employees to encourage them to stay with the Council.

<sup>3</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

<b>Key Risk</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>4</sup></b>
<p>KSR3. Civil Contingency / Emergency Planning failure.</p>	<p>a. The Emergency Plan has been subject to a Best Value Review.</p> <p>b. Mitigation plans exist in the event of catastrophic IT failure.</p> <p>c. Both the Emergency Plan and the Council's Business Continuity Plan have been revised to comply with the Civil Contingency Act but require testing to ensure their effectiveness. Regular exercise to test the integrity of the Plans.</p> <p><b>Current Status of Treatment Measures</b></p> <p>a. The Emergency Plan has been used in a number of minor incidents.</p> <p>b. The Emergency Plan is currently going through Review process.</p> <p>c. Contact details regularly revised and checked.</p> <p><b>Actions since last review:</b> None</p> <p><b>Performance Measures:</b> None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Catastrophic/Likely            Legislation: Catastrophic/Likely            Reputation: Catastrophic/Very Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Likely            Reputation: Major/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>• David Perkins (Head of Streetcare and Operations)</li> <li>• Councillor Grey</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last review: 21<sup>st</sup> May 2008</p>

<sup>4</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

## Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>5</sup>
<p>KSR4. Failure to reduce costs and achieve Procurement savings.</p>	<ul style="list-style-type: none"> <li>• Specified savings projects fail to deliver target savings.</li> <li>• Berkshire Procurement and Shared Services Unit (BPSSU) fails to deliver savings to RBWM.</li> <li>• RBWM does not make savings as a consequence of involvement with IESE<sup>6</sup> regional themes (South East regional projects in specific areas of procurement spend).</li> </ul> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Each of the projects in the savings programme has a risk assessment, which is reviewed monthly.</li> <li>b. BPSSU's work programme is reviewed monthly and scrutinised by a representative of each Council in Berkshire (known as Efficiency Champions) who report collectively to the BPSSU Management Board.</li> <li>c. Funding for the themed workshops finalised in June 2008 and RBWM is tracking emerging projects to ensure it is involved wherever possible</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <p>As above along with an annual Review of key risks and automatic spontaneous review of newly emerging risks.</p>	<p><b>Uncontrolled Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Very Unlikely            Reputation: Major/Likely            Service Delivery: Minor/Unlikely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Likely            Legislation: Minor/Very Unlikely            Reputation: Major/Likely            Service Delivery: Minor/Very Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Major/Very Unlikely            Legislation: Minor/Very Unlikely            Reputation: Major/Very Unlikely            Service Delivery: Minor/Very Unlikely</p>	<ul style="list-style-type: none"> <li>• Gary Richardson (Head of Business Development)</li> <li>• Councillor Hilton</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last review: 2<sup>nd</sup> July 2008</p>

<sup>5</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>6</sup> Improvement and Efficiency South East (formerly South East Centre of Excellence)

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	<p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"><li>• Savings programme reviewed by Directors' Group 28th May 2008 and monthly meetings of Risk Owners to review progress against targets.</li><li>• Efficiency Champions meet bi-monthly to review progress of BPSSU and ensure they are on target.</li><li>• Head of Business Development sits on three of the Theme Boards of IESE and engages with remainder to ensure opportunities are not missed.</li></ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"><li>• Monthly meetings of Risk Owners to review progress against targets.</li></ul>		
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**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

<b>Key Risk</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>7</sup></b>
<p>KSR5. Failure to successfully plan and deliver 2012 Olympic and Paralympic Games in the form of:</p> <ul style="list-style-type: none"> <li>• Main rowing</li> <li>• Flat water canoeing</li> <li>• Adaptive rowing</li> </ul>	<p>a. Sector Groups aligned to national arrangements established with chairperson and co-ordinator leading on delivery of draft 2012 strategy desired focus and priority outcomes. SEEDA<sup>8</sup> are the lead stakeholder for planning and securing the best benefit of being Olympic hosts.</p> <p>b. Undertake Risk Assessment of RBWM role.</p> <p><b>Current Status of Treatment Measures</b></p> <p>a. Co-ordination Meeting June 2008 involving South East Olympic Co-ordinator to update Sector Group on the national picture e.g. branding, sponsorship tiers.</p> <p>b. Initial RA completed but due to be revised in conjunction with review of Olympic Strategy development including role of and relationship with Sectoral Group and respective focus.</p> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• None at this stage. Post Beijing, expect major change in priority and step up in associated activity. ODA<sup>9</sup> will increase their</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: catastrophic/likely            Legislation<sup>12</sup>: moderate/unlikely            Reputation: catastrophic/likely            Service Delivery: major/likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/likely            Legislation: moderate/unlikely            Reputation: Major/likely            Service Delivery: major/likely</p> <p><b>Controlled Score: LOW</b>            Financial: Major/Unlikely            Legislation: Minor/Very unlikely            Reputation: Major/Very unlikely            Service Delivery: Major/Very unlikely</p>	<ul style="list-style-type: none"> <li>• Ian Trenholm (Chief Executive) and David Scott (Head of Community Services)</li> </ul> <p>Cllr involvement: Cllr David Burbage, at the outset, and likely to be rolled out through Cabinet Members by the end of summer 2008.</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 11<sup>th</sup> July 2008</p>

<sup>7</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>8</sup> The South East England Development Agency, as the Regional Development Agency for the South East, is responsible for the sustainable economic development and regeneration of the South East of England

<sup>9</sup> "Olympic Delivery Authority - the single delivery body responsible for creating the infrastructure for the Olympic and Paralympic Games in London in 2012.

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

	<p>resources to reflect scale of preparation and make expectations of the Local Authorities. Presently these are not well defined. The current proposal is for the Chief Exec's from the Local Authorities involved<sup>10</sup> to meet with ODA to ensure a joint focus and deliver opportunities with partners.</p> <ul style="list-style-type: none"> <li>• LOCOG11 to be adequately engaged to ensure their expectation on the hosting Local Authorities is clear.</li> </ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• No Local PI's or National Indicator Sets (NI's) yet specified</li> </ul>		
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<sup>10</sup> RBWM, South Bucks District Council, Buckinghamshire County Council, Slough Borough Council

<sup>11</sup> The London Organising Committee of the Olympic and Paralympic Games is responsible for preparing and staging the 2012 Games.

<sup>12</sup> Legislation in the form of the London Olympic Games and Paralympic Games Act 2006, Olympic Symbol etc. (Protection) Act 1995

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<p>KSR6. Failure to manage Partnership working</p>	<p>a. Active Local Strategic Partnership (LSP) Partners involved in policy setting.</p> <p>b. Well-established Partnership arrangement with Health and Housing Associations.</p> <p>c. A training programme for staff including working with Partners to develop bids for additional resources has been initiated.</p> <p>d. Develop a performance management framework for Partnerships working.</p> <p>e. Develop governance arrangements for Royal Borough Partnerships.</p> <p>f. Finalising LAA's<sup>13</sup>.</p> <p>g. Ensure Risks of Partnership working are assessed to the standard required by Audit Commission guidance in this area.</p> <p><b>Current Status of Treatment Measures</b></p> <p>a. LSP Partners continue to be extensively involved in policy setting. Partners have been engaged extensively in the all the stages in the development of the new LAA. Executive Officers Group and the LSP have been merged to simplify and strengthen partnership arrangements. Merger endorsed by all partners.</p> <p>b. Lead member for Community Partnership &amp; Partnerships Manager are meeting with Housing Associations to further strengthen relationship with Housing associations.</p> <p>c. £6k support funding successfully secured by Partnership Manager to undertake a</p>	<p><b>Uncontrolled Score: HIGH</b>          Financial: Major/Very likely          Legislation: Moderate/Likely          Reputation: Major/Very likely          Service Delivery: Major/Very likely</p> <p><b>Current Score: MEDIUM</b>          Financial: Major/Unlikely          Legislation: Moderate/Unlikely          Reputation: Moderate/Unlikely          Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>          Financial: Moderate/Unlikely          Legislation: Moderate/Unlikely          Reputation: Moderate/Unlikely          Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>• Ian Hunt (Interim Head of Democratic Services)</li> <li>• Councillor Mrs Bateson</li> </ul> <p>Frequency of review: quarterly</p> <p>Date of last review: 27<sup>th</sup> June 2008</p>
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<sup>13</sup> LAA – Local Area Agreements

<sup>14</sup> CAA - Comprehensive Area Assessment. An independent assessment of the prospects for local areas and the quality of life for people living there to take effect from April 2009

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

	<p>development programme for LSP members, elected members and staff. Programme to be facilitated by expert external facilitators (PtP) through workshops planned for 09/08. Partnership Manager has joined the SE LSP Practitioner Network and the PtP Making Partnership Work development programme to further develop knowledge and skills.</p> <p>d. Partnership Manager and Interim Head of Democratic services have met with Audit and Review to develop a management framework for partnership work to be adopted by the merged LSP and to meet the requirements of CAA<sup>14</sup></p> <p>e. As “d”.</p> <p>f. Local Area Agreements finalised and submitted to GOSE</p> <p>g. See points “d” and “e”.</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> None</p>		
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**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

<b>Key Risk</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>15</sup></b>
<p>KSR7. Failure to embed Performance Management in the culture of the Council at all levels leads to:</p> <ul style="list-style-type: none"> <li>• Inefficient and ineffective management</li> <li>• Misdirected/wasted resources</li> <li>• Failure to meet targets/continuous improvement</li> </ul> <p>Failure to adopt consistent and effective Project Management procedure leads to:</p> <ul style="list-style-type: none"> <li>• Projects running over time or budget.</li> <li>• Projects failing to realise adequate benefits.</li> <li>• Inappropriate projects undertaken</li> <li>• Reputation damage</li> <li>• Standards not commonly applied</li> </ul>	<ol style="list-style-type: none"> <li>a. Ensure named Officer is explicitly tasked for executing each task.</li> <li>b. Project management to ensure deadlines and other time boundaries that make sure things get done.</li> <li>c. Track the cost of implementing the strategic plan so that return-on-investment and other calculations can be done.</li> <li>d. Revise SPRUCE methodology.</li> </ol> <p><b>Current Status of Treatment Measures</b> New risk from June 2008</p> <p><b>New Treatment measures and Modifications following last review</b> New risk from June 2008</p> <p><b>Performance Measures</b> New risk from June 2008</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> <li>• Ian Trenholm, Chief Executive</li> <li>• Councillor Burbage</li> </ul> <p>Frequency of review: 12 monthly</p> <p>Date of last review: New risk from June 2008</p>

<sup>15</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

<b>Key Risk</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>16</sup></b>
<p>KSR8. Failure to ensure a robust and clear decision-making and/or policy approval framework leads to delays in implementing recommendations and improvements with consequent resident dissatisfaction and negative publicity.</p>	<p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Effective project plans and monitoring.</li> <li>b. Lead Member briefings, Cabinet Reports</li> <li>c. Overview and Scrutiny panel process.</li> <li>d. Use of Surveys, Stakeholder groups (incl. customers), consultation on Policy and Strategy.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place but currently being revised as Spruce 3 methodology.</li> <li>b. Latest report writing papers updated August 2008.</li> <li>c. In place</li> <li>d. In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Very Likely            Legislation: Moderate/Very Likely            Reputation: Major/Very Likely            Service Delivery: Major/Very Likely</p> <p><b>Current Score: LOW</b>            Financial: Minor/Very Unlikely            Legislation: Minor/Very Unlikely            Reputation: Minor/Very Unlikely            Service Delivery: Minor/Very unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Minor/Very Unlikely            Legislation: Minor/Very Unlikely            Reputation: Minor/Very Unlikely            Service Delivery: Minor/Very unlikely</p>	<p>All Heads of Service</p> <p>All Cabinet Members</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>16</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix A - Current Key Strategic Risks as at 1<sup>st</sup> September 2008**

Service Area Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>17</sup>
<p>KSR9. Loss of data or inadequate data security leads to delays and errors in business processes.</p>	<p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. BID perform backup</li> <li>b. All key critical documents retained as paper records.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Undertaken daily</li> <li>b. Ongoing</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Secure data backup facility being developed at Tinkers Lane premises.</p> <p><b>Performance Measures</b></p> <p>None at present</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Minor/Unlikely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Keith Clark</p> <p>Cllr John Story</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>17</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>COR1. Health and Safety</p> <ul style="list-style-type: none"> <li>• Skills development failure</li> </ul>	<p>Health and Safety structure of the Council fails to support embedding process leading to avoidable injuries, breaches of legislation, reputation damage, compensation claims</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Sort membership of H&amp;S Committee in conjunction with Directors, Union.</li> <li>b. Train Directors, Unit Managers/Senior Managers &amp; Members in necessary H&amp;S Skills</li> <li>c. Set up small 2nd tier Officer team with standard H&amp;S Skills as Safety Champions and embed Safety Champions supported by Safety Co-ordinators in each Directorate to assist ownership &amp; delivery.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Committee currently meets quarterly with designated Officer involvement.</li> <li>b. Ongoing</li> <li>c. Yet to commence</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Moderate/Likely            Reputation: Catastrophic/Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Likely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Lynda Verrell-Wilson, Health and Safety Manager,            Carol Naismith, Head of HR</p> <p>Cllr David Burbage</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 4<sup>th</sup> August 2008</p>

<sup>1</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>2</sup></b>
<p>COR2. Financial Planning</p> <ul style="list-style-type: none"> <li>Loss of revenue/income generation</li> </ul>	<p>Interest rate fluctuations cause a fall in expected investment income with effects on service budgets.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Regular monitoring of interest rates</li> <li>Consider ability to move investments</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>Ongoing</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>Cautious assessment of interest receipts in budget proposals.</li> </ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>None beyond monitoring</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Minor/Very Likely            Reputation: Moderate/Very Likely            Service Delivery: Moderate/Very Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Likely            Reputation: Moderate/Likely            Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: HIGH</b>            Financial: Major/Likely            Legislation: Minor/Likely            Reputation: Moderate/Likely            Service Delivery: Moderate/Likely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 28<sup>th</sup> August 2008</p>

<sup>2</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>3</sup></b>
<p>COR3. Financial Planning</p> <ul style="list-style-type: none"> <li>Failure to obtain or maintain a commitment to sustainability</li> </ul>	<p>Need to reduce waste tonnages that are landfilled to avoid penalty. The Borough faces significant costs - up to £750k pa - if we fail to reduce tonnages taken to landfill.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Green Waste Initiative</li> <li>Revised Disposal Contracts</li> <li>Educate Residents</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Proposed, Terry Gould as Lead Officer</li> <li>In progress, Terry Gould as Lead Officer</li> <li>In progress, Terry Gould as Lead Officer</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Catastrophic/Likely            Legislation: Catastrophic/Likely            Reputation: Major/Likely            Service Delivery: Minor/Likely</p> <p><b>Current Score: HIGH</b>            Financial: Catastrophic/Likely            Legislation: Catastrophic/Likely            Reputation: Major/Likely            Service Delivery: Minor/Likely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Catastrophic/Unlikely            Legislation: Catastrophic/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Unlikely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 28<sup>th</sup> August 2008</p>

<sup>3</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>4</sup></b>
<p>COR4. Financial Management</p> <ul style="list-style-type: none"> <li>• Insufficient financial resources</li> </ul>	<p>In the event of high levels of inflation there is a risk that increases in revenue will not keep pace with rising service delivery costs</p> <p>Notably this will emerge if Government grant does not keep pace with service costs or if there is consumer resistance to any proposals to increase income from fees and charges</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Ensure service delivery is contained with available grant funding</li> <li>b. Ensure financial planning procedures are in place to identify likelihood of this risk occurring so that measures identified in Council Financial Strategy can be actioned.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. and b. In progress, Andrew Brooker as Lead Officer</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Major/Very Likely                      Legislation: Moderate/Very Likely                      Reputation: Moderate/Very Likely                      Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Major/Very Likely                      Legislation: Moderate/Very Likely                      Reputation: Moderate/Very Likely                      Service Delivery: Major/Very Likely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Very Likely                      Legislation: Moderate/Very Likely                      Reputation: Moderate/Very Likely                      Service Delivery: Moderate/Very Likely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 28<sup>th</sup> August 2008</p>

<sup>4</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>5</sup></b>
<p>COR5. Revenues and Benefits</p> <ul style="list-style-type: none"> <li>Failure to retain and recruit staff</li> </ul>	<p>Loss of key staff to agencies offering better pay/conditions of service along with problems in recruiting staff with the necessary skills leads to delays affecting targets and dependencies.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>Direct recruitment procedures towards people with backgrounds in Finance.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>Agency staff only used to cover long-term sickness and maternity leave. No other FTE posts covered by Agency staff.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>Agency staff market has bottomed out. Agencies now possess significantly less ability to attract individuals by providing the prospect of long-term assignments with Local Authorities.</li> <li>Remote processing companies are more commonly available for additional support/flexibility but Academy<sup>6</sup> currently not available for remote access. Head of Business Improvement advises Academy should be available on Supplier Portal by the end of July 2008.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Moderate/Likely            Reputation: Major/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Minor/Very unlikely            Reputation: Minor/Very unlikely            Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Minor/Very unlikely            Reputation: Minor/Very unlikely            Service Delivery: Minor/Very unlikely</p>	<p>Penny Jackson,            Head of Revenues and Benefits</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 20<sup>th</sup> June 2008</p>

<sup>5</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>6</sup> The Revenues and Benefits IT System employed by the Council.

<sup>7</sup> Department for Work and Pensions

<sup>8</sup> Finance Management team

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>Performance Measures</b></p> <ul style="list-style-type: none"><li>• National Indicators under “Maintaining a Vibrant Economy”<ul style="list-style-type: none"><li>○ NI 180 – reflects changes in circumstances applications in current financial year. Target is 6556 but data yet to be extracted from the Council by DWP7 so unable to comment on progress.</li><li>○ NI 181 – Time taken to process new Housing Benefit claims. 2008/09 Target is an average of 12 days.</li></ul></li><li>• Local indicator – assess all new claims in &lt;25 days. Monthly</li><li>• Council Tax – stretching targets for collection rates/month. Regular detailed report from Head of Revs &amp; Bens to FMT<sup>8</sup></li></ul>		
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**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>9</sup></b>
<p>COR6. Licensing and Enforcement</p> <ul style="list-style-type: none"> <li>Failure to implement Lone Working policies</li> </ul>	<p>Violence against Officers dealing with outside inspections and enforcement leads to injuries, trauma, negative publicity, criticism of Council, compensation claims made in negligence and loss of confidence by staff.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Officers will not visit licensed premises unaccompanied unless during the day and unless by pre-arranged visit.</li> <li>All visits to licensed premises will be organised with the Police Licensing Officer and Officers will be accompanied by the Police at all times.</li> <li>CSC Interview Rooms designed for quick escape. CSC Security staff alerted to potential problems.</li> <li>Officers provided with mobile telephones and Airwave radios. Community radios available to link with Tinkers Lane for town centres work.</li> <li>Staff receive training for dealing with aggression.</li> <li>Stab vests worn at all times during all defined operations.</li> <li>Adhere to RBWM policy on violence against staff.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>- g. All in place</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Catastrophic/Likely            Reputation: Major/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Minor/Very unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Very unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Minor/Very unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Very unlikely</p>	<p>Alan Barwise, Licensing Manager</p> <p>Cllr Jesse Grey</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 4<sup>th</sup> July 2008</p>

<sup>9</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Corporate Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>10</sup></b>
<p>COR7. All service areas</p> <ul style="list-style-type: none"> <li>Change management failure – IT systems</li> </ul>	<p>“Embargoed email” process leads to potentially important information not communicated to Officers. Officers are not aware that emails addressed to them have been intercepted so cannot request their discharge.</p> <p>An average of 16,000 emails are received daily. Approximately 5,000 of these (30%) are spam, or malicious and carry payloads of viruses that could harm the computer estate if they were allowed through to user inboxes unchecked. A major risk would be incurred if no filters were in place.</p> <p>With controls in place a residual risk remains that mails may be destroyed that should be released and people expecting a mail may not receive it, in which case alternative communication methods need to exist.</p> <p>The classifications are: Clean, Detected Spam, Encrypted, Executable, Multimedia, Oversize, Profanity, Racist, Script, Tagged Spam, Undetermined and Virus</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>A product called Mimesweeper, which aims to trap traffic that poses any risk in view of its content or attachments, filters all inbound and outbound mails.</li> <li>Technical Services staff review the items held by the filters on a daily basis that require intervention to determine whether they are genuine mails (in which case they are released), or not (in which case they are</li> </ol>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Moderate/Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Keith Clark, Head of Business Improvement</p> <p>Cllr John Story</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 4<sup>th</sup> July 2008</p>

<sup>10</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix B - Current Operational Risks rated as “High” by Corporate Services Directorate as at 1<sup>st</sup> September 2008**

	<p>destroyed).</p> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Ongoing daily. The software filtering will produce some false positive results, however a balance has to be struck to ensure an optimum level of filtering. Increasing the release point for mails may result in unwanted mails reaching inboxes.</li> <li>b. Ongoing daily. There is a risk that mails that should be released to inboxes may be destroyed.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• None</li> </ul> <p><b>Performance Measures</b></p> <ol style="list-style-type: none"> <li>a. The Mimesweeper product has self-learning capabilities, which allow it to react to changing patterns of traffic. Updated configuration files are downloaded nightly.</li> <li>b. Reviews of the filtered mails take place several times throughout the working day, to ensure mails are released in a timely manner.</li> </ol>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>COM 1. Highways drainage</p> <ul style="list-style-type: none"> <li>• Impact of flooding</li> </ul>	<p>Localised surface water and abuse of drains causes surcharges resulting in numerous smaller incidents leading to disruption, cost and reputation damage to RBWM for not foreseeing stress on capacity. Much of the treatment measures can only react to a certain level of flooding; there becomes a stage where the impact of the weather could be out of the Council’s ability to satisfactorily mitigate.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Lobby Thames Water to pursue further improvements to maintain adequate drainage</li> <li>b. Identify and condition programme improvements/maintenance to RBWM drains.</li> <li>c. Increase community awareness of “abused” drains esp. in Windsor (oldest infrastructure)</li> <li>d. Ensure viable alternative centres for providing response to any disruptive incidents in the local community.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. This is a capacity problem and is largely in the control / purview of Thames Water as opposed to RBWM.</li> <li>b. Programme for gully emptying ongoing. Capital programme for land drainage schemes. The improvements to our infrastructure are shared between Streetcare and Highways at the moment.</li> <li>c. Pan-Berkshire work for “Self-Help for Flood” Exhibition planned for 08/10/08 to assist local residents/businesses to acquire suitable flood reduction/prevention guidance and equipment.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Unlikely            Reputation: Major/Very Likely            Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Likely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Likely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Major/Unlikely</p>	<p>David Perkins, Head of Streetcare and Operations            Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>1</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p>d. RBWM Emergency Plan arranged in partnership with Parish plans to ensure a complementary approach.</p> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• RBWM Flood Plan on Council Internet for public from August 2008</li> <li>• Completed rest centre training May 2008.</li> </ul> <p><b>Performance Measures</b> None</p>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>2</sup></b>
<p>COM2 Highways maintenance</p> <ul style="list-style-type: none"> <li>• Failure to meet minimum legislative requirements.</li> </ul>	<p>Failure to maintain streetscene (carriageways, footways, signs, lines etc) to statutory minimum level to maintain safe standards.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Written protocols accounting for current legislation re: inspection regimes with highways repairs to agreed standards for relevant Officers to operate to.</li> <li>b. Reactive crew to respond to call-outs and non-hazardous defects. Standards differ according to emergency and non-emergency works.</li> <li>c. Emergency repairs usually reported by public with immediate response by standard procedure. Other Officers also report defects in addition.</li> <li>d. Planned work by association with Capital Programme.</li> <li>e. Officers all briefed on use of Council handbook for assessing road conditions which has been compiled with regard to legislation</li> <li>f. Provide regular claims statistics to demonstrate success/failure of defences based on inspection programme.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. – e. All in place</li> <li>e. In place, provided quarterly.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Catastrophic/Very Likely            Reputation: Major/Very Likely            Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>David Perkins, Head of Streetcare and Operations</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 11<sup>th</sup> July 2008</p>

<sup>2</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> Inspection frequencies adhere to Highways Maintenance Management System, History of Works Orders</p>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>3</sup></b>
<p>COM3 Public Protection</p> <ul style="list-style-type: none"> <li>• Failure to meet minimum legislative requirements for 1) food, 2) Health and Safety, 3) Housing</li> </ul>	<p>Failure to meet preventative statutory obligations results in death to employee/third parties and consequent prosecution, fines and negative publicity.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. The Council's policy in respect to Food Safety is to inspect 80% of high-risk food premises and to target Health &amp; Safety premises in line with HSE themes given the levels of available resources and capacity.</li> <li>b. The new House in Multiple Occupation (HMO) Inspection regime is being developed to prioritise high-risk identified sites.</li> <li>c. Council Tax protocols to identify and report multiple registrations at the same address which target potential new sites for investigations.</li> <li>d. All High Risk premises to be inspected during 2008. Progress encouraged by setback to any business's reputation if they are not assessed to standard.</li> <li>e. FSA<sup>4</sup>/HSE<sup>5</sup> Reporting.</li> <li>f. Promotional activity i.e. community awareness in “Around the Royal Borough”.</li> <li>g. Provision of sufficient and competent resource capacity.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Major/Very Likely            Reputation: Major/Very Likely            Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Catastrophic/Very Likely            Reputation: Major/Very Likely            Service Delivery: Catastrophic/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Cllr Jesse Grey</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>3</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>4</sup> Food Standards Agency. An independent Government department set up by an Act of Parliament in 2000 to protect the public's health and consumer interests in relation to food.

<sup>5</sup> Health and Safety Executive. The HSE and local government are the enforcing authorities for the Health and Safety Commission who is responsible for health and safety regulation in the UK.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Reviewed annually by Cabinet</li> <li>b. In progress</li> <li>c. In place</li> <li>d. Ongoing</li> <li>e. In place</li> <li>f. Ongoing</li> <li>g. In progress</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>6</sup></b>
<p>COM4 Asset Management and Health and Safety</p> <ul style="list-style-type: none"> <li>• Failure to meet minimum legislative requirements</li> </ul>	<p>Failure to apply a Legionella policy, Asbestos Policy and a Fire Safety Policy. Leads to breaches of legislation and possible punitive measures including public criticism, fines, compensation claims.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Systematic inspection and testing regimes.</li> <li>b. Asbestos Plan.</li> <li>c. Staff awareness and training</li> <li>d. External contractor awareness as part of Designated Site Manager (DSM) policy.</li> <li>e. Sampling regime for Legionella testing.</li> <li>f. Implement Asset Management software to integrate site information.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> <li>c. DSM's undertake this</li> <li>d. DSM's appointed.</li> <li>e. Quarterly for Legionella and monthly temperature checks.</li> <li>f. Approved and implementation scheduled by March 2009</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Unlikely            Legislation: Catastrophic/Likely            Reputation: Catastrophic/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Catastrophic/Very unlikely            Reputation: Major/Very unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Catastrophic/Very unlikely            Reputation: Major/Very unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Rob Packham, Building Services Manager and Lynda Verrall-Wilson, Health and Safety Manager</p> <p>Cllr Jesse Grey</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>6</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> Treatment measure “e” is on target</p>		
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## Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008

Service Area Risk Community Services	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>7</sup>
<p>COM5 Leisure Services (incl. Libraries, Parks, Play Equipment)</p> <ul style="list-style-type: none"> <li>• Failure to adhere to Health and Safety practice</li> </ul>	<p>Death or serious injury to a service user whilst at a facility.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Staff training and CRB<sup>8</sup> checks.</li> <li>b. Robust and tested systems in place with external QUEST<sup>9</sup> accreditation, NOP's<sup>10</sup> as part of PIG's<sup>11</sup>. PIGS's signed off by Members and determine permissible range of activities.</li> <li>c. H&amp;S Management systems reviewed in accordance with HSG65<sup>12</sup> and ISRM<sup>13</sup> accreditation.</li> <li>d. Extensive induction manual and orientation protocols.</li> <li>e. Liaison with RBWM Insurance and Risk Management team on best practice.</li> <li>f. Appointment of Unit Risk Manager to ensure systems controlled and reviewed by Unit Risk Assessments.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Unlikely            Legislation: Catastrophic/Likely            Reputation: Catastrophic/Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Moderate/Very unlikely            Reputation: Moderate/Very unlikely            Service Delivery: Moderate/Very unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Moderate/Very unlikely            Reputation: Moderate/Very unlikely            Service Delivery: Moderate/Very unlikely</p>	<p>Kevin Mist, Head of Leisure Services</p> <p>Cllr Jesse Grey</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>7</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>8</sup> Criminal Records Bureau. Enables organisations to make recruitment decisions by identifying candidates who may be unsuitable for work involving children or vulnerable adults.

<sup>9</sup> Quest was developed by Sport England to provide a quality accreditation scheme for sports and leisure facilities.

<sup>10</sup> Normal Operating Procedures

<sup>11</sup> Policies Information and Guidance

<sup>12</sup> HSE Framework for Successful Health and Safety Management incl. Policy, Organising, Planning and Implementing

<sup>13</sup> Institute of Sport and Recreation Management

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Ongoing as part of established operating protocols.</li> <li>b. NOP’s and PIG’s regularly reviewed as part of modifying QUEST accreditation.</li> <li>c. Annual review</li> <li>d. Ongoing</li> <li>e. Risk Awareness training sessions undertaken for Leisure Centres staff 19<sup>th</sup> May and 21<sup>st</sup> July 2008 by Insurance &amp; Risk Manager and external insurers.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• Windsor “Highly Commended” (81%) at last accreditation 10-11/05/07. Accreditation runs to 17/05/09.</li> <li>• Magnet “Excellent” (85%) at last accreditation 27-28/09/07. Accreditation runs to 04/10/09</li> </ul>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>14</sup></b>
<p>COM6 Leisure Services</p> <ul style="list-style-type: none"> <li>• Economic vitality</li> </ul>	<p>Economic downturn causes reduction in expected business reducing revenue from discretionary spending in, inter alia, Car Parks and Leisure facilities, property portfolio, libraries. Failure to collect S.106 monies reduces Council ability to fund promised initiatives.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Use of distinct Quality Systems to encourage customers to return.</li> <li>b. Building and property maintenance kept to high quality standards.</li> <li>c. Car Parks maintained to an attractive standard.</li> <li>d. Consider market rates for rents, fees and charges and other Economic intelligence</li> <li>e. Enforcement of collection and monitoring of compliance with e.g. Fixed Penalty Notices, Rents.</li> <li>f. Forward planning of budget</li> <li>g. Respond to economic and emerging policy signals.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Catastrophic/Likely            Legislation: Minor/Unlikely            Reputation: Major/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Major/Unlikely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/unlikely</p>	<p>David Scott, Head of Community Services and Tim Slaney, Head of Planning (for S106 monies)</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>14</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Embedded in day to day business protocols.</li> <li>b. Ongoing Capital and Revenue programmes.</li> <li>c. Daily and weekly cleaning programmes.</li> <li>d. Reviewed against market competitors annually.</li> <li>e. Debt recovery procedures carried out to national standards.</li> <li>f. Established as an annual Council process.</li> <li>g. Monthly monitoring of targeted income against actual income. Monitor number of facility users.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>15</sup></b>
<p>COM7 Emergency Response</p> <ul style="list-style-type: none"> <li>• Civil Contingency planning failure</li> </ul>	<p>Failure to ensure Council has a resilient contingency plan to allow suitable response to a crisis situation.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Officers based at Tinkers Lane thought to be best placed for task. Some key staff identified and are tasked with ensuring continued operation of EOC<sup>16</sup>.</li> <li>b. Request for volunteers through "Chatback" with Email from Chief Executive stating importance of project and welcoming volunteers.</li> <li>c. Consider recruiting further members of staff to Emergency Planning Team.</li> <li>d. Increase the size of the EP Response Team via training of existing staff.</li> <li>e. Identify staff competencies and use these, in conjunction with HR, to create schedule of suitable Officers.</li> <li>f. Identify EP<sup>17</sup> Champions to act as Directorate Liaison Officers.</li> <li>g. Identify 3 emergency CSC managers and 30 CSC support staff and provide training.</li> <li>h. Created dedicated EP web presence on Hyperwave and external RBWM website. Consider Front Page access.</li> <li>i. Created and distributed hard copies of quick reference Emergency Plan to key staff.</li> <li>j. Undertake annual EOC/Rest Centre exercise.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Major/Likely                      Legislation: Major/Likely                      Reputation: Catastrophic/Likely                      Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Major/Unlikely                      Legislation: Major/Likely                      Reputation: Major/Unlikely                      Service Delivery: Major/Likely</p> <p><b>Controlled Score: LOW</b>                      Financial: Major/Unlikely                      Legislation: Minor/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/unlikely</p>	<p>David Perkins, Head of Streetcare and Operations</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>15</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>16</sup> Emergency Operations Centre

<sup>17</sup> Emergency Planning

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

- k. Produce and implement action plans in response to debrief after emergency situations.
- l. Need to publicise updates to Emergency Plan.
- m. Hold regular simulation and training exercises.
- n. Validate current contact details held by all designated officers to ensure information can be cascaded and activities initiated.

**Current Status of Treatment Measures**

- a. Formalisation of staff & training requirements including amendments to job roles still required. EP Officer also working on IT course Introduction to Emergency Planning.
- b. Initial request received 6 volunteers.
- c. On hold pending restructure implications.
- d. Awaiting outcome of “a” above.
- e. New project board identified Head of Streetcare, Director of Community Services and EPO in discussion who should be part of initial group due to commence September 2008.
- f. Completed and CSC plan at draft stage.
- g. Back pages are being updated as we progress.
- h. Duty EP Officer / EOC / CCTV have hard copies, in future CD'S will be used. Moving away from hard copies to documents on hyperwave.
- i. Completed exercise in May 2008. Plan will be transferred to Learning and Care ownership during September 2008.
- j. Not yet started.
- k. Ongoing 200. Review not yet done.
- l. Awaiting creation of plans. Expect flood exercise to be the first tabletop exercise in 2009.
- m. Ongoing

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

	<p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Project Board will dictate future work programme, as will initiatives from Thames Valley Local Resilience Forum.</li> <li>• RBWM working to Thames Valley Risk Register and current threats</li> <li>• Initial draft fuel plan completed June 08 requires updating</li> <li>• Community Flood Plan is next main task for Aug / Sept 2008</li> <li>• Flood week 6-10th Oct with flood fair 8th Oct at Thames Valley Athletics Centre</li> </ul> <p><b>Performance Measures</b> None at present</p>		
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**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>18</sup></b>
<p>COM8 Streetcare and Operations</p> <ul style="list-style-type: none"> <li>• Maintenance of Highways and Transport network</li> </ul>	<p>Failure to assess resources and demands resulting from cold weather leads to poor reaction to ice/snow and increased inconvenience/accidents to residents, local services and businesses.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Comprehensive annual Winter Maintenance plan detailing roles, responsibilities, contractors incl. gritting routes, grit ordering, Designated Duty Officer.</li> <li>b. Risk Assessments behind road treatment strategy exist and are held by Highways. Contractors also have their own risk assessments for carrying out the works.</li> <li>c. Duty Officer takes daily responsibility for implementing Winter Maintenance launch and roll-out.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> <li>c. Available daily</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None at present</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Major/Very Likely            Reputation: Major/Very Likely            Service Delivery: Moderate/Very likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Unlikely</p>	<p>Steve Brown, Head of Engineering and Transport</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>18</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>19</sup></b>
<p>COM9 Public Safety and Protection</p> <ul style="list-style-type: none"> <li>Failure to deliver services at agreed cost/specification/quality</li> </ul>	<p>Failure to secure waste disposal facility leads to increased costs of clearance. Failure to collect and dispose of refuse leads to escalating financial challenges to meet prescribed Government targets in terms of what is sent to landfill.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Implement BMW<sup>20</sup> reduction strategy.</li> <li>Procure suitable disposal facility by 2013</li> <li>Recycling initiatives to reduce tonnages.</li> <li>Community and public awareness of waste minimisation schemes.</li> <li>Contract meetings and monitoring.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>Ongoing</li> <li>Profile increased linked to sustainability objectives</li> <li>Ongoing</li> <li>Ongoing</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Member Waste Panel set up</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Unlikely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Likely Legislation: Major/Likely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>19</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>20</sup> Biodegradable Municipal Waste

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>21</sup></b>
<p>COM10 Outdoor Facilities</p> <ul style="list-style-type: none"> <li>• Inadequate repair &amp; maintenance/investment in equipment</li> </ul>	<p>Failure to manage trees leads to collapse, damage to property, injury, compensation claims, damaged reputation.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Ensure schools’ trees are regularly surveyed.</li> <li>b. Ensure Highway trees are regularly surveyed.</li> <li>c. Await Government guidance, anticipated through legislation on inspection frequencies and adjust service to meet this.</li> <li>d. Complete audit of trees to determine resources required for compliance with government guidance in “c”.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Surveyed every two years.</li> <li>b. Re-inspected if deemed a high risk on a time frame set by the tree officer doing the survey.</li> <li>c. Results awaited during late 2008.</li> <li>d. In progress</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None at present</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very likely            Legislation: Major/Very likely            Reputation: Major/Very likely            Service Delivery: Minor/Very unlikely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Very unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Minor/Very unlikely</p>	<p>Stephen Anderson, Outdoor Facilities Manager</p> <p>Cllr Jesse Grey</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 8<sup>th</sup> July 2008</p>

<sup>21</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix C - Current Operational Risks rated as “High” by Community Services Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Community Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>22</sup></b>
<p>COM11 Assets and Building Services</p> <ul style="list-style-type: none"> <li>Inadequate repair &amp; maintenance/investment in equipment</li> </ul>	<p>Failure of reactive maintenance to address problems in schools leads to exposure to injuries due to building failures.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>Annual inspections</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>All school sites inspected for appropriate treatment of hazards to those working at heights under CDM<sup>23</sup> Regulations. Necessary works due to be commissioned by end of June 2008.</li> <li>CDM assessment matrix to be trialled at schools July – September</li> <li>Department for Children, Schools and Families<sup>24</sup> Web Portal available.</li> <li>Help desk in place for schools.</li> <li>CDM Module (as part of Asset Management software) enables schools to cost and monitor all projects.</li> </ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>Records of inspection frequency and follow up works</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very likely Legislation: Major/Very likely Reputation: Catastrophic/very likely Service Delivery: Catastrophic/very likely</p> <p><b>Current Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Rob Packham, Building Services Manager</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 1<sup>st</sup> August 2008</p>

<sup>22</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>23</sup> The Construction (Design & Management) Regulations 2007. These apply to most common building, civil engineering and engineering construction works.

<sup>24</sup> UK government department with responsibility for children's services, families, schools, 14-19 education, and the Respect Taskforce.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>LC1. Adult Services – Learning Disability</p> <p>Conflicting priorities/lack of staff capacity</p>	<p>The Borough runs three residential care Homes, two of which provide permanent care for people with a learning disability. 16 Staff (2007 figures) are needed at these units on a permanent basis and failure to properly staff the Homes could lead to significant harm or mortal danger to a client.</p> <p><b>Treatment Measures</b>                      Establish systems to provide Officer support should staff shortages occur:</p> <ol style="list-style-type: none"> <li>a. Business Continuity Plan highlights which team/s required to support the Homes should staff shortages occur. Relevant training for these identified Officers to be undertaken.</li> <li>b. Use of Pertemps (or other Agency).</li> <li>c. Use of Homecare staff for "minor" shortages.</li> <li>d. Management can assist if above fails.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> <li>c. In place</li> <li>d. In place</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b>                      C30 – Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/very likely                      Legislation: Major/very likely                      Reputation: Major/very likely                      Service Delivery:                      Catastrophic/very likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Moderate/unlikely                      Legislation: Major/unlikely                      Reputation: Major/unlikely                      Service Delivery:                      Catastrophic/unlikely</p> <p><b>Controlled Score: MEDIUM</b>                      Financial: Moderate/unlikely                      Legislation: Major/unlikely                      Reputation: Major/unlikely                      Service Delivery:                      Catastrophic/ unlikely</p>	<p>Allan Brown Head of Adult Services,                       Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>1</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>2</sup></b>
<p>LC2. Adult Services – Adult Care</p> <p>Conflict between national/regional agendas &amp; local priorities</p>	<p>Adult services have a responsibility in conjunction with the hospital to arrange safe and speedy discharge of people from hospital. If hospitals are under pressure during an emergency then it may not be possible to facilitate the discharge. Financial penalties of £120/day if client is still in bed when they should be out along with reputation damage to Council.</p> <p><b>Treatment measures</b></p> <ul style="list-style-type: none"> <li>• Work closely with hospital to provide early warning system.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Daily monitoring by use of hospital’s own warning system protocols – green/amber/red/black situations</p> <p><b>Performance Measures</b></p> <p>C32 - Older people helped to live at home per 1000 of the population  D41 - delayed transfers of care  D55 - waiting time for assessments  D56 - waiting time for care packages</p> <p>Monitor level of penalties made against RBWM</p>	<p><b>Uncontrolled Score: HIGH</b>  Financial: Moderate/very likely  Legislation: Moderate/very likely  Reputation: Major/very likely  Service Delivery: Major/very likely</p> <p><b>Current Score: MEDIUM</b>  Financial: Moderate/unlikely  Legislation: Moderate/unlikely  Reputation: Major/unlikely  Service Delivery: Major/unlikely</p> <p><b>Controlled Score: MEDIUM</b>  Financial: Moderate/unlikely  Legislation: Moderate/unlikely  Reputation: Major/unlikely  Service Delivery: Major/unlikely</p>	<p>Allan Brown Head of Adult Services,  Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>2</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>3</sup></b>
<p>LC3. Adult Services - Learning Disability and Day Care</p> <p>Conflicting priorities/lack of staff capacity</p>	<p>There are four Day Centres, two that provide services for people with a Learning Disability and two for Older People. Without this service, some individuals and their carers could be put at risk of significant harm and lack of staff to support these services would have a significant impact on the health and safety of the individuals concerned.</p> <p><b>Treatment Measures</b> Provide alternative support framework for staff and/or location:</p> <ul style="list-style-type: none"> <li>a. Work with the voluntary sector e.g. voluntary day centres, Mencap</li> <li>b. Look after clients at their own homes if possible through Homecare, Voluntary Day Services or Pertemps.</li> <li>c. Day to day monitoring of service with reactive protocols in case of difficulty.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> <li>c. In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b> C30 - Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Very Likely Legislation: Moderate/very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/Unlikely Legislation: Moderate/ Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p>	<p>Allan Brown Head of Adult Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>3</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>4</sup></b>
<p>LC4. Adult Services – In-house Home Care Conflicting priorities/lack of staff capacity</p>	<p>Failure of In-House Home Care service can cause significant harm or mortal danger to a client.</p> <p><b>Treatment Measures</b> Delayed Discharge Section monitor the number of users and the number of hours of service supplied/demanded to identify fluctuations:</p> <ul style="list-style-type: none"> <li>a. Daily Health Teleconferences across East Berkshire involving Hospitals, Strategic Health Authority, District Nurses.</li> </ul> <p>Fast track recruitment processes:</p> <ul style="list-style-type: none"> <li>b. Can recruit direct rather than involve Corporate HR.</li> <li>c. Pertemps could assist.</li> <li>d. Staff are still required to undergo necessary CRB checks.</li> </ul> <p>Provide enhanced support to enable people to remain in their own homes:</p> <ul style="list-style-type: none"> <li>e. The support is practical and emotional and includes getting people up, toileting, meals, medication and putting people to bed.</li> </ul> <p><b>Current Status of Treatment Measures</b> a. – e. All in place</p> <p><b>New Treatment measures and Modifications following last review</b> Ensure the Council has the ability to pass out Care Packages to the independent sector.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: LOW</b> Financial: Moderate/very unlikely Legislation: Major/Very Unlikely Reputation: Catastrophic/Very unlikely Service Delivery: Catastrophic/very unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/very unlikely Legislation: Major/Very Unlikely Reputation: Catastrophic/very unlikely Service Delivery: Catastrophic/very unlikely</p>	<p>Allan Brown Head of Adult Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>4</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

	<b>Performance Measures</b> C28 - households receiving intensive homecare per 1000 of population aged 65 and above C32 - older people helped to live at home per 1000 population D41 - delayed transfers of care		
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**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>5</sup></b>
<p>LC5. Adult Services – Domiciliary Care</p> <p>Failure of Key supplier</p>	<p>80% of the domiciliary care service is provided by external care agencies. There are currently around 500 people receiving a service from these providers. Lack of suppliers or failure by a supplier to provide adequate levels of care, as determined by reference to legislation, can have a significant impact on the health and safety of the service users.</p> <p><b>Treatment Measures</b></p> <p>Contractual terms determine required notice periods:</p> <ul style="list-style-type: none"> <li>a. Carers may still leave the organisation despite the contractual implications.</li> </ul> <p>Monitoring of service providers:</p> <ul style="list-style-type: none"> <li>b. Regular Forums held.</li> <li>c. IT System logs calls to vulnerable people so Officers can monitor developments.</li> <li>d. Performance linked to Commission for Social Care Inspection</li> <li>e. Contracts team monitor inspection reports re: quality and standards</li> <li>f. Retain own internal Homecare Team who can react to pick up short-term supplier shortfall depending on capacity.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. – f. All in place.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Working with current providers to create capacity in market.</p>	<p><b>Uncontrolled Score: HIGH</b></p> <p>Financial: Moderate/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: HIGH</b></p> <p>Financial: Moderate/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Controlled Score: MEDIUM</b></p> <p>Financial: Moderate/Unlikely            Legislation: Major/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown            Head of Adult Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>5</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

	<p><b>Performance Measures</b>  C28 - households receiving intensive homecare per 1000 of population aged 65 and above  C32 - older people helped to live at home per 1000 population  D41 - delayed transfers of care</p>		
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**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>6</sup></b>
<p>LC6. Adult Services – Mental Health</p> <p>Conflicting priorities/lack of staff capacity</p>	<p>Incorrect processes procedures followed by officers or incorrect client assessments made due to conflicting priorities and/or insufficient staff capacity. Clients inadequately supported. Damage to Council reputation if clients harm others or self-harm.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Supervision, Team Meetings and regular Assessment training to national standards.</li> <li>b. Monthly supervision should pick up any poor practice.</li> <li>c. Monitors complaints by Teams and individual workers.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> <li>c. In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>C31 - adults with mental health problems helped to live at home per 1000 of population</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Catastrophic/Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Allan Brown            Head of Adult Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>6</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>7</sup></b>
<p>LC7. Adult Services – Rapid Response and Rehabilitation</p> <p>Conflicting priorities/lack of staff capacity</p>	<p>The Intermediate Care Service provides a rapid response and rehabilitation service to prevent inappropriate hospital admission and facilitate safe discharge. They are required to support people to remain in their own homes and the non-availability of this service will result in serious impact to service users.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Attempt to stop people being admitted to hospital by timely intervention.</li> <li>b. Participation in the daily teleconference allows a degree of pre-planning but constrained by having no influence on this flow of people.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Careful monitoring of hospitals and primary care centres to understand capacity issues.</p> <p><b>Performance Measures</b></p> <p>C29- adults with physical disability helped to live at home per 1000 population            C32 - older people helped to live at home per 1000 population            D41 - delayed transfers of care</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Catastrophic/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Catastrophic/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown Head of Adult Services,            Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>7</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>8</sup></b>
<p>LC8. Childrens' Safeguarding</p> <p>Failure to adhere to Health and Safety practice</p>	<p>Failure to follow correct safeguarding procedures leads to serious harm, injury or potential fatality to a child.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Adventure Activities Licensing Authority held by Offsite Activities co-ordinator.</li> <li>b. Ensure processes and systems to enable robust defence of civil or criminal actions that may nonetheless occur.</li> <li>c. Clear eligibility criteria for referrals to Safeguarding Teams</li> <li>d. Provide Awareness Training for teams.</li> <li>e. Produce and review all Safeguarding plans.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place and up to date.</li> <li>b. Most recent Child Protection inspections from Ofsted<sup>9</sup>, Audit Commission and CSCI<sup>10</sup> have all confirmed safe practices are in place at RBWM.</li> <li>c. In place</li> <li>d. Undertaken regularly.</li> <li>e. All plans regularly reviewed as fit for purpose with audit trail.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Consider investment in Advanced Skills Teachers standards to enable staff to provide detailed advice re: PE, Design and Technology issues.</p> <p><b>Performance Measures</b> - See “b” above.</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Very Likely                      Reputation: Catastrophic/Very Likely                      Service Delivery: Moderate/ Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Major/Unlikely                      Service Delivery: Moderate/Very unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Very Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/Very unlikely</p>	<p>Cliff Turner, Head Of Children &amp; Young People</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 25<sup>th</sup> June 2008</p>

<sup>8</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>11</sup></b>
<p>LC9. Area Children and Young People Team</p> <p>Economic Climate</p>	<p>Lower standards of care in a weaker area may result in a postcode lottery for clients. Maidenhead and Windsor Area Children and Young People teams may develop in inconsistent ways. RBWM fails to narrow any gaps in opportunity available to sets of students across the Borough.</p> <p><b>Treatment Measures</b> Processes in place to support weaker areas. Local solutions adaptable and hence purpose fit to local areas rather than one catch-all course of action.</p> <p><b>Current Status of Treatment Measures</b> Refer to Ofsted’s most recent inspections as necessary.</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> Refer to Ofsted’s most recent inspections as necessary.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/very likely</p> <p><b>Current Score: LOW</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Cliff Turner, Head Of Children &amp; Young People</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 25<sup>th</sup> June 2008</p>

<sup>9</sup> The official body for inspecting schools.

<sup>10</sup> CSCI – The Commission for Social Care Inspection who inspect and report on care services and Councils. For social care services for children, this duty was undertaken only to April 2007 at which stage social care services for children have been monitored by Ofsted

<sup>11</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>12</sup></b>
<p>LC10. Childrens' Services</p> <p>Failure to improve services</p>	<p>Failure to raise the achievement levels of pupils at the lower end of the performance level or bring up the performance of secondary schools.</p> <p><b>Treatment Measures</b> Processes in place to support weaker schools. Local solutions adaptable and hence purpose fit to local schools rather than one catch-all course of action.</p> <p><b>Current Status of Treatment Measures</b> Refer to Ofsted's most recent inspections.</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> Refer to Ofsted's most recent inspections as necessary.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/very likely</p> <p><b>Current Score: MEDIUM</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Likely Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Cliff Turner, Head Of Children &amp; Young People</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 25<sup>th</sup> June 2008</p>

<sup>12</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>13</sup></b>
<p>LC11. Extended Schools’ Programme and Childrens’ Centres</p> <p>Failure to meet Government deadlines in terms of completion of extended schools.</p> <p>Inadequate assessment of customers' needs</p>	<p>Failure to complete Extended Schools Programme will result in failure to meet Government Agenda.</p> <p>Widening divergence of the quality of facilities available within the Royal Borough leads to complaints from stakeholders and services left under-utilised.</p> <p>See detailed project risk assessment on Corporate Risk Register.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Meet with TDA<sup>14</sup> on termly basis to discuss progress on agenda.</li> <li>Attend TDA updates and training events.</li> <li>Comply with data requests on schools by TDA via database.</li> <li>Ensure adequate staffing in RBWM to undertake “c”.</li> <li>Marketing and communications in place on regular basis.</li> <li>Consultation with stakeholders by schools at least annually.</li> <li>Consultation with service providers.</li> <li>Encourage schools to achieve Quality Mark in study support.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <p>All on target</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Major/Very unlikely            Reputation: Major/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>            Financial: Minor/Very Unlikely            Legislation: Minor/Very Unlikely            Reputation: Minor/Very Unlikely            Service Delivery: Minor/Very Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Minor/Very Unlikely            Legislation: Minor/Very Unlikely            Reputation: Minor/Very Unlikely            Service Delivery: Minor/Very Unlikely</p>	<p>Cliff Turner, Head Of Children &amp; Young People</p> <p>Cllr Mrs Eileen Quick</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 2<sup>nd</sup> July 2008</p>

<sup>13</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>14</sup> Training and Development Agency for Schools. The national agency and recognised sector body responsible for the training and development of the school workforce.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

	<p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• 50% of schools meeting full core offer by 2008. RBWM currently at 57%</li> <li>• 100% of schools meeting full core offer by 2010.</li> <li>• 4 Schools achieved Quality Mark this year. 6 schools planned for next year.</li> </ul>		
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**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>15</sup></b>
<p>LC12. Extended Schools’ Programme and Childrens’ Centres</p> <p>Failure to meet Government deadlines</p>	<p>Failure to complete four designated Childrens' Centres by 31<sup>st</sup> March 2010 will result in loss of Government funding wasted resources – financial and Officer - in capital development, and a failure in the Council’s statutory duty.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Service embedded through Childrens’ Trust board who ensure duties are met by agenda</li> <li>• Head of Children and Young People takes lead on overall management</li> <li>• Quarterly minuted meetings of Officers to ensure project on schedule. Outputs flagged to Cliff Turner and Angela Wellings (Area Children &amp; Young People’s Team Manager) for escalation.</li> <li>• Specific support from other Council teams as well as dedicated time within Service Area</li> <li>• Dedicated programme manager</li> <li>• Dedicated time from Strategy and Resources to support</li> </ul> <p><b>Current Status of Treatment Measures</b> All on target</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• Progress quarterly monitored by Together For Children<sup>16</sup> and Norfolk Property Services. Currently rated as “Low risk” by those Agencies and hence minimal input from those agencies.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p>	<p>Cliff Turner, Head Of Children &amp; Young People</p> <p>Cllr Mrs Eileen Quick</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 9<sup>th</sup> July 2008</p>

<sup>15</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

<sup>16</sup> Together for Children works in partnership with the Department for Children, Schools and Families to support local authorities in their delivery of Sure Start Children’s Centres.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>17</sup></b>
LC13. Holyport Manor School	<p>In addition to the financial risk or cost overruns, the risk of project delays directly affects the risk of service delivery. Operating and snagging issues after opening pose a risk to full and continued operation.</p> <p>Full risk assessment and controls on Corporate Risk Register</p> <p>Key risk issues:</p> <ul style="list-style-type: none"> <li>• Financial contingency funds built into Building Services estimates. Building industry under less pressure so cost increases unlikely.</li> <li>• Reputation: far more good news stories associated with project than bad news stories. Nevertheless, any problems are likely to be seized by campaigners against the project as evidence of its failure.</li> <li>• Service Delivery: pupil education and support not totally dependent on new facility opening on time. Accommodation could be provided from existing schools if delays occur.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Catastrophic/Likely                      Legislation: Minor/Very unlikely                      Reputation: Moderate/Very Likely                      Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Minor/Unlikely                      Legislation: Minor/Very unlikely                      Reputation: Moderate/Likely                      Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>                      Financial: Minor/Unlikely                      Legislation: Minor/Very unlikely                      Reputation: Moderate/Likely                      Service Delivery: Moderate/Unlikely</p>	<p>Chris Thomas, Head of Housing &amp; Residential Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 25<sup>th</sup> June 2008</p>

<sup>17</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>18</sup></b>
<p>LC14. Housing Options Team</p> <p>Conflicting priorities/lack of staff capacity</p>	<p>Failure to provide service due to lack of staff leads to local people without suitable accommodation. These people are exposed to potential harm and the Council to reputation damage.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Monitoring staffing levels (relatively straightforward as team is small) and prioritising efforts to ensure posts are filled quickly if a vacancy arises.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Ongoing</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Ensure bidding for the training budget prioritised.</li> <li>• Value staff. Stringent use of appraisal process, provision of flexible working patterns.</li> </ul> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Very Likely            Legislation: Major/Very Likely            Reputation: Major/Very Likely            Service Delivery: Major/Very Likely</p> <p><b>Current Score: HIGH</b>            Financial: Moderate/Very Likely            Legislation: Major/Likely            Reputation: Major/Likely            Service Delivery: Major/Very Likely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Very unlikely            Legislation: Major/Very unlikely            Reputation: Major/Very unlikely            Service Delivery: Major/Very unlikely</p>	<p>Chris Thomas, Head of Housing &amp; Residential Services</p> <p>Cllr Alison Knight</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>18</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>19</sup></b>
<p>LC14B. Housing Options Team</p> <p>Economic downturn/recession.</p>	<p>Prevailing economic conditions could lead to loss of homes due to mortgage arrears or other personal debt. Some individuals or families may have difficulty or an inability to access mortgage facilities and thus resolve their own housing situation.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Continuous monitoring of applications and vigilance to early indications of repossession.</li> <li>• Awareness of Government measures to support home ownership.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Ongoing</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Not applicable</li> </ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• None</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/very likely            Legislation: Moderate/very likely            Reputation: Moderate            Service Delivery: Major/very likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/likely            Legislation: Moderate/likely            Reputation: Moderate/likely            Service Delivery: Major/ likely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/unlikely            Legislation: Moderate/unlikely            Reputation: Moderate/unlikely            Service Delivery: Moderate/unlikely</p>	<p>Lead Officer:</p> <p>Chris Thomas,            Head of Housing &amp; Residential Services</p> <p>Cllr Alison Knight</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 29<sup>th</sup> August 2008</p>

<sup>19</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>20</sup></b>
LC15. All Services	<p>Loss of data causes delays and errors in business processes leading to significant harm or mortal danger to a client.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. BID perform daily backup and contract with SUN (who provide Ultrasparc server to run CRIS etc) to retrieve all systems data.</li> <li>b. All key critical documents retained as paper records.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place</li> <li>b. In place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Discussions with BIU underway regarding re-siting of data back up tapes to improve security.</p> <p><b>Performance Measures</b></p> <p>None at this time</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Major/Likely            Reputation:            Catastrophic/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Major/Unlikely            Reputation:            Catastrophic/Unlikely            Service Delivery:            Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Major/Unlikely            Reputation:            Catastrophic/Unlikely            Service Delivery:            Moderate/Unlikely</p>	<p>Dave Horler, Head of Strategy &amp; Resources</p> <p>Cllr Eileen Quick and Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 9<sup>th</sup> July 2008</p>

<sup>20</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>21</sup></b>
<p>LC16. All Services</p> <p>Insufficient Financial Resources</p>	<p>Insufficient resources to meet the rise in number of clients, particularly those with dementia and adults with learning disabilities. Failure to provide a statutory service could impact on individual clients, may result in a risk to reputation and leave the Council open to a legal challenge.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Produce monthly performance reports on all service areas detailing: level of activity, level of demand on service.</li> <li>b. Members' 360 degrees report to Cabinet demonstrates impact on budgets.</li> <li>c. Can virement money across areas if demanded and agreed from above.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. In place.</li> <li>b. In place</li> <li>c. In place</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>Monitoring reports of treatment measures above.</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Major/Very Likely            Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Dave Horler, Head of Strategy &amp; Resources, Allan Brown Head of Adult Services,</p> <p>Cllr Eileen Quick and Cllr John Story</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 9<sup>th</sup> July 2008</p>

<sup>21</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>22</sup></b>
<p>LC17. All Services</p> <p>Failure of Key supplier</p>	<p>The Emergency duty team is provided by Bracknell and operates when RBWM offices are closed. If the team fail for any reason or if there are technological problems, then there would be an impact as far as RBWM is concerned which may result in significant harm or mortal danger to a client.</p> <p><b>Treatment Measures</b>                      Monitor management of Emergency Duty team in prescribed fashion.</p> <ul style="list-style-type: none"> <li>a. Head of Adult Services sits on Client/Officer Group to monitor management of Unit.</li> <li>b. Monthly activity reports by Local Authority area.</li> <li>c. Cold calling by Head of Adult Services.</li> <li>d. Emergency Duty Team has their own risk assessments regarding the integrity of computer system and data.</li> <li>e. Appropriate data on known Service Users is shared to improve knowledge base.</li> </ul> <p><b>Current Status of Treatment Measures</b>                      a. – e. All in place</p> <p><b>New Treatment measures and Modifications following last review</b>                      None</p> <p><b>Performance Measures</b>                      None</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Likely                      Legislation: Moderate/Likely                      Reputation: Moderate/Likely                      Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Moderate/Very unlikely                      Reputation: Moderate/Very unlikely                      Service Delivery: Major/Very unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Moderate/Very unlikely                      Reputation: Moderate/Very unlikely                      Service Delivery: Major/Very unlikely</p>	<p>Allan Brown, Head of Adult Services</p> <p>Cllr Eileen Quick and Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>22</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>23</sup></b>
<p>LC18. All Services</p> <p>Technology obsolescence/inadequacy for task</p>	<p>Failure of the Council's systems to comply with current government standards leads to mismanagement of client records.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Any software tenders must only be for nationally recognised systems.</li> <li>b. Use feedback from Government inspection for improvement framework.</li> <li>c. Ensure software is kept up to date to reflect legislative changes and design improvements.</li> <li>d. Ensure client records managed in accordance with best practice.</li> <li>e. Adhere to Caldicott Principles at all time.</li> <li>f. Performance Officer and System staff contained in same RBWM team to ensure the correct data is collected.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. External audit of Paris System by DCFS gave green light status to compliance issues.</li> <li>b.- f. All in place</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Major/Very Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Dave Horler, Head of Strategy &amp; Resources</p> <p>Cllr Eileen Quick and Cllr John Story</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 9<sup>th</sup> July 2008</p>

<sup>23</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as “High” by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>24</sup></b>
<p>LC19. All Services</p> <p>Failure to retain &amp; recruit staff</p>	<p>L&amp;C is a people intensive service. National shortage of Social Workers, Mental Health Workers Teachers, Housing staff, Domiciliary Care Workers, Speech and Occupational Therapists results in an inability to deliver the service leading to significant exposure of clients to harm and mortal danger.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Monitor staffing situation with prescribed reactions to deteriorations.</li> <li>b. If any decrease in Approved Social Workers is identified, Liz Bateman (Locality Manager, Community Mental Health Team) and Allan Brown (Head of Adult Services) are authorised to personally provide support to this team.</li> <li>c. Use of Agency staff (including Pertemps)</li> <li>d. Amendments to Mental Health Act due October 2008 mean particular situations can be dealt with by Nurses, Educational Psychologists and named others as well as Social Workers.</li> <li>e. Use of trained volunteers where appropriate.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. – f. All in place.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>None, beyond monitoring</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Likely                      Legislation: Major/Likely                      Reputation: Major/Likely                      Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Major/Very unlikely                      Reputation: Major/Very unlikely                      Service Delivery: Catastrophic/Very unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Major/Very unlikely                      Reputation: Major/Very unlikely                      Service Delivery: Catastrophic/Very unlikely</p>	<p>Jim Gould, Director of Learning and Care</p> <p>Cllr Eileen Quick and Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 19<sup>th</sup> August 2008</p>

<sup>24</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**Appendix D - Current Operational Risks rated as "High" by Learning and Care Directorate as at 1<sup>st</sup> September 2008**

<b>Service Area Risk Learning and Care</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>25</sup></b>
LC20. Youth Service Provision	<p>Failure to improve and utilise Youth Service leads to avoidable levels of anti-social behaviour, complaints. Centres currently open only for a few hours and form a less high profile function.</p> <p><b>Treatment Measures</b> Management review commissioned to assess fitness for purpose.</p> <p><b>Current Status of Treatment Measures</b> Review underway: oral feedback expected by the end of July 2008 and written feedback by the end of August 2008.</p> <p><b>New Treatment measures and Modifications following last review</b> Management review.</p> <p><b>Performance Measures</b> Four national indicators apply.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p><b>Current Score: HIGH</b> Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Moderate/Unlikely Legislation: Minor/very unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/likely</p>	<p>Cliff Turner, Head Of Children &amp; Young People Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>New risk: updated 25<sup>th</sup> June 2008</p>

<sup>25</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

Appendix E Explanation of Headings and Information Captured by the Key Risk Reports

Column 1

Reference number (1 – n)	KSR = Key Strategic Risk COR = Corporate Services Key Operational Risk COM = Community Services Key Operational Risk LC = Learning and Care Key Operational Risks.
Service Area	From the Council’s Organisational Structure chart.
Headline description of Risk	Brief explanation of the nature of the risk detailed in the next three columns.

Column 2

Detail	Additional wording to describe the risk in more detail
Treatment Measures	Listing of control measures in progress to mitigate the likelihood and/or impact of the risk
Current Status of Treatment Measures	Progress towards implementing the mitigation measures cross-referenced to assist orientation.
New Treatment Measures and Modifications following last review	To draw attention to changes in the controls since the preceding report.
Performance Measures	Relevant local or national benchmarking performance indicators that can be used to measure effectiveness of the controls.

Column 3

Risk Assessment	Assessment detailed in three situations: Uncontrolled – the risk without any controls whatsoever Current – how the risk stands at the present time Controlled – how the risk would look once all Treatment Measures are implemented. Each is assessed in terms of its Impact and Likelihood in four criteria: Financial, legislation, reputation, Service Delivery. The assessment is made with reference to the methodology contained in “Risk, Managed” with this assessment criteria also contained in Appendix 2 to the Risk Management Strategy 2008/09.
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Column 4

Risk Owners	An individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.
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## ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

### RISK MANAGEMENT STRATEGY AND POLICY 2008/09

#### What is Risk Management?

1. Risks are inherent in all services delivered by the Royal Borough of Windsor and Maidenhead. The need to manage risk should be recognised by all managers and staff within the Royal Borough as being fundamentally important to effective service delivery and maximising opportunities for innovation in service development.
2. Risk can be defined as "*something happening which may have an impact on the achievement of an organisation's objectives*". If risk is not properly managed, it can have a significant impact on the Royal Borough. For example, the inefficient use or waste of resources, financial losses, service disruption, adverse publicity, legal action, failure to meet Royal Borough objectives, or the risk that opportunities to deliver services in new ways are missed.
3. Risk Management is defined by ALARM<sup>1</sup> as "*the culture, processes and structure that are directed towards effective management of potential opportunities and threats to the organisation achieving its objectives*".
4. The effective management of risk is therefore, a critical part of the Royal Borough 's approach to delivering sound Corporate Governance and Best Value.
5. The objective of Risk Management is not to completely eliminate all risk - that is not possible – but to recognise risks and deal with them appropriately.
6. Risk Management is not about being risk averse but is about being risk aware. There are strong links between effective risk management and effective management.
7. Consequently, staff will need to understand the nature of the risks in their areas and systematically identify, analyse, assess, treat, monitor and review those risks.

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<sup>1</sup> ALARM is the primary voice for Public Sector risk management in the UK.

## **Why is Risk Management Important?**

8. The Council's overall vision is "*celebrating and sustaining our heritage and environment, promoting a responsive and responsible community for the benefit of all current residents and future generations*". Risk management is important in identifying and minimising factors that might hinder the Council in meeting its vision and service objectives. Furthermore, failure to effectively manage risks can have resource implications for the Council.
9. When management of risk goes well it often remains unnoticed. When it fails, however, the consequences can be significant and high profile – hence the need for effective risk management.
10. The risk assessment process enables us to consider what could stop us achieving our service delivery objectives. Risk management helps us to: -
  - ensure best value and best practice are achieved in the management of risks
  - regard compliance with legal and regulatory requirements as a minimum standard
  - identify and respond to changing social, environmental and legislative requirements
  - prevent injury, damage and loss to stakeholders and employees or their property
  - reduce the overall cost of risk to the Council
  - integrate risk management into the Council's culture
  - support staff in their efforts to manage the risks to which they are exposed
11. When we follow the risk management process initially identifying threats to the achievement of our objectives, there is always the potential to identify opportunities e.g. new ways of delivering our services in a more cost effective manner or additional means of generating income. Having identified these opportunities, we can then make a decision whether or not to exploit them to the Council's benefit.
12. The reasons why the management of risk is important to the Council can be broadly broken down into two categories, external and internal influences.

### External Influences

13. Risk management is an important element of the wider Corporate Governance agenda. In June 2008, the Council adopted a Corporate Governance Policy and Local Code of Corporate Governance.
14. The Audit Commission, under the current Comprehensive Performance Assessment (and from April 2009, its replacement, the Comprehensive Area Assessment), will externally monitor effective Corporate Governance and Risk Management. As part of this assessment, the Council accepts that it will need to provide clear evidence of the following:
  - An assessment of the risks inherent in our plans

- Risk awareness particularly when entering new arenas.
  - Adoption of a risk management strategy with clear delivery processes.
  - Risk management that supports innovation.
  - Competency in managing risks in periods of change.
15. The Council is required to publish an Annual Governance Statement that complies with Regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006. This includes, as one of its core principles, a requirement for the Council to demonstrate how it manages risk and ensures that it has a system of controls that are key in mitigating risks that may affect the achievement of the Council's objectives.
16. Additionally, Risk Management falls under the assessment of Internal Control and therefore contributes to our overall 'Use of Resources' score. Key elements of assessment will need to be demonstrated including:
- Assessing the risks in respect of significant partnerships.
  - All appropriate staff are given training and guidance as to their risk management responsibilities within their own working environment.
  - Members have been appropriately trained as to their risk management role.
  - Risk management is embedded within our business processes, i.e. strategic and financial planning, policy making and review, performance and project management.
  - That the opportunity side of risk management is considered towards the successful delivery of major innovative and challenging projects.
17. CIPFA<sup>2</sup> in their 2005 publication "*Audit Committees – Practical Guidance for Local Authorities*" emphasised that an Audit Committee, as a part of their core function, should review the effectiveness of the Council's risk management arrangements.

#### Internal Influences

18. The Corporate Risk Register is recognised by Members and Senior Management as a helpful way of drawing together the potential obstacles to delivering service objectives across the Council. It identifies the relative importance of these potential obstacles and assigns responsibilities for attempting to reduce the likelihood and/or impact if they do occur.
19. The Terms of Reference of the Audit and Performance Review Panel make specific reference to their responsibilities for ensuring that the Council's key risks are properly assessed and managed.
20. Risk Management is an important process to help deliver better outcomes for major programmes and projects.

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<sup>2</sup> "Chartered Institute of Public Finance and Accountancy". The only UK professional accounting body that specialises in the public sector.

21. Including specific Risk Assessments as part of decision-making papers to Members and Directors ensures that any risks inherent in a given decision are made more noticeable and hence, subject to improved scrutiny.

### **The Council's Policy on Risk Management**

22. The Council's Policy on Risk Management is to manage risk in accordance with best practice. Risk Management decisions and practices will be in accordance with appropriate codes of practice, ethical standards and values applicable to local government and its officers.
23. To deliver this Policy, it is necessary that staff in all areas of the Royal Borough and Members adopt a consistent and systematic approach to managing risk.

### **Policy Objectives**

24. The main Policy objectives of managing risk are set out below.

**Royal Borough of Windsor and Maidenhead  
Risk Management Policy Objectives**

- Maintain the highest possible integrity for services provided by the Royal Borough.
- Preserve the Royal Borough's ability to deliver Council objectives/policies and Government legislation in a timely, efficient and effective manner.
- Maximise the effectiveness and efficiency of all resources deployed by the Royal Borough to deliver Best Value services through the application of sound risk management principles.
- Safeguard assets - people, financial and property.
- Create an environment where all staff will assume responsibility for managing risk.
- Ensure that the Royal Borough can appropriately deal with risk at strategic, project and operational levels by taking appropriate mitigating actions and exploiting opportunities.
- Minimise risk to customers who use Council maintained assets.
- Demonstrate transparent and responsible risk management processes, which align with accepted best practice.
- To operate an agreed anti-fraud and corruption strategy.
- To provide a sound basis for a corporate insurance strategy

## Risk Management Requirements

25. Risk management requires:-

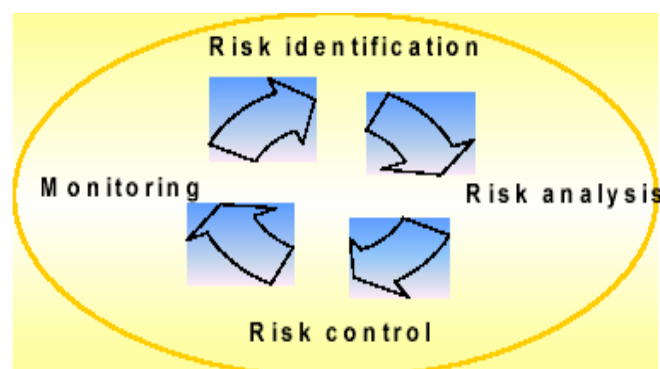
- Risk to be **everyone's** business. All staff must be competent in and accountable for managing risk within their area of responsibility.
- A consistent management framework for making decisions on how best to manage risk.
- Relevant legislative requirements and political, social and economic environments (as well as Royal Borough policies and procedures) to be taken into account in managing risk.
- Integration of risk management with existing planning and operational processes.
- Leadership to encourage and empower staff in the management of risk.
- Good quality information.

## Responsibilities of Management, Staff and Members

26. Management and staff need to be familiar with, and competent in, the application of the Royal Borough's Risk Management Strategy and accountable for the delivery of that Policy within their areas of responsibility.
27. Members of the Council also have an important role in ensuring the effective management of risk within the Council.
28. The **responsibilities** for the management of risk are set out at [Appendix F\(i\)](#).

## Risk Management Process

29. The approach to Risk Management in RBWM follows a four-stage process involving the objectives of the each Service being risk profiled. The input and involvement of Service Managers who are familiar with the Service Area is vital to the process.



30. **Stage 1** involves identifying the service/team/decision objectives from core business processes.
31. **Stage 2** identifies those circumstances – risks – that might prevent those objectives being reached and evaluate the likelihood and impact in order to identify how significant each risk is.
32. Impacts are scored from 1 to 4 where 1 represents a Minor risk and 4 represents a catastrophic risk. The Likelihood of the risk occurring is also scored from 1 to 4 where 1 represents “Very Unlikely” and 4 represents “Very Likely”. Protocols detailed in Appendix F(ii) exist to guide Officers in making these judgements.
33. Due to its diverse range of services the Council does not have a single risk tolerance and appetite for risk will vary. The important thing is identifying and understanding the risks facing the Council to enable informed decisions to be made about policies or service delivery method.
34. Multiplying these Likelihood and Impact scores together gives a result that is assessed as “High Risk” (a value between 11 and 16), “Medium Risk” (a value between 5 and 10) or “Low Risk” (a value between 1 and 4).
35. In terms of assessing each risk the Assessment is detailed in three situations:
  - Uncontrolled – the risk without any controls whatsoever
  - Current – how the risk stands at the present time
  - Controlled – how the risk would look once all Treatment Measures are implemented.

I M P A C T	4	8	12	16
	3	6	9	12
	2	4	6	8
	1	2	3	4
<b>LIKELIHOOD</b>				

36. **Stage 3** treats the risks in order of priority. Treatment measures address whether the Likelihood and/or Impact can be reduced or the consequences changed. Contingencies can be devised to respond should the risk occur. Those Red risks will be evaluated by Directors’ Group, the Audit and Performance Review Panel and Cabinet.
37. **Stage 4** is a monitoring and review process. The Corporate Risk Register and quarterly reporting process demands that each Risk clearly indicates

consequences, countermeasures and contingencies as well as the Risk Owner<sup>3</sup>. This process adds scrutiny to ensure:

- The correct risks are being identified
- The treatment measures identified are legitimate
- The correct individuals are assigned as Risk Owners
- That “unknown unknowns” as well as identified risks are, as far as possible, being considered as a core part of management responsibilities.

38. A short guide on risk management process is attached as Appendix F(iii).

### **Training and Awareness**

39. The Insurance and Risk Management Unit is tasked with arranging the development and provision of risk management awareness and training throughout the Royal Borough. This training will address the needs of all staff, management and Members.

40. Cabinet and the Audit and Performance Review Panel will receive and approve an annual report on the Council’s Risk Management Strategy setting out a series of successes and actions for the forthcoming year designed to meet the Council’s Policy objectives.

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<sup>3</sup> An individual Officer, who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.

**RESPONSIBILITIES FOR MANAGING RISK WITHIN THE ROYAL  
BOROUGH OF WINDSOR AND MAIDENHEAD**

The following responsibilities must be fulfilled if the Risk Management Strategy is to be effectively developed, implemented and reviewed.

**Cabinet Role and Responsibilities**

Ensure the Council follows best practice in relation to its Risk Management arrangements.

Own and take responsibility for the Council's approach to handling risk.

Receive an annual report on risk management and monitor the effective development and operation and Corporate Governance in the Council, to also support the assurance in the Annual Governance Statement.

**Audit and Performance Review Panel Role and Responsibilities**

Consider and approve the Risk Management Strategy annually and communicate it to other elected members.

Receive an annual report on risk management and monitor the effective development and operation and Corporate Governance in the Council, to also support the assurance in the Annual Governance Statement.

Receive quarterly reports on the management of the key operational and strategic risks facing the Council to allow their scrutiny and challenge.

Oversee the governance process to ensure that strategic risks are being reviewed at Directors' Group and across each Directorate.

Oversee a comprehensive, inclusive and risk management approach to the Annual Governance Statement process.

Review an annual report on Corporate Governance (Annual Governance Statement).

**Directors' Group Role and Responsibilities**

Ensure that the Council manages risk effectively through the development of an all-encompassing Corporate strategy.

Oversee the effective management of risk by Council officers.

Approve the Corporate Risk Management Strategy.

**Insurance and Risk Management Team Role and Responsibilities**

Develop the Strategy and oversee the implementation across the Council.

Share experience on risk and risk management.

Identify areas of overlapping risk.

Share good practice on all aspects of risk management.

Develop and recommend the Strategy to Cabinet, the Audit and Performance Review Panel and Directors' Group.

Approve the annual risk management plan and overall risk management performance.

Provide a clear and concise system for reporting audit risks to Members via the Audit and Performance Review Panel.

**Directorate Management Team Role and Responsibilities**

Ensure that risk is managed effectively in each service area within the agreed corporate strategy.

Feed into the development of the corporate risk management strategy from a service specific perspective (through the Insurance and Risk Manager and their input into the Audit and Performance Review Panel).

Identify any service specific issues relating to risk management which have not been explicitly addressed in the corporate strategy

Ensure that the strategy is implemented effectively across its services through departmental/unit business plans.

Negotiate departmental budget requirements for risk control projects.

Liaise as appropriate with external agencies/partners in identifying and managing risk.

Disseminate the detail of the strategy and allocate responsibilities for implementation to service managers and staff.

Establish the training requirements of managers and staff with regard to strategy implementation.

Identify a senior officer within the directorate (ideally a directorate management team member) to co-ordinate the directorate's overall approach to risk management as Risk Champion.

**Risk Champion Role and Responsibilities**

Raise the profile and benefits of risk management amongst Directorate/Service colleagues from day to day business as usual.

Challenge the contents of the Corporate Risk Register to ensure, in particular, that it reflects any significant new risks emerging and that monitoring systems are suitably robust.

Be a focal point by which service managers/team leaders can feed views to the formal Risk Management process thereby including operational risk management in directorate management teams.

Ensure the practice of managing risk is made intrinsic to all Council activities.

**Internal Audit Role and Responsibilities**

Include risk assessments within the internal audit programme taking business risk management issues into account.

Undertake audits to assess the effectiveness of risk management measures.

**Service Area Manager Role and Responsibilities**

Manage risk effectively in their particular service areas.

Implement the detail of the risk management strategy in Directorate/Unit service plans

Recommend the necessary training for employees on risk management

Maintain a risk management portfolio for their service area

Share relevant information with colleagues in other service areas

Feedback on their experience of strategy implementation and perceptions of strategy effectiveness to the Directorate Risk Champion.

**Employees' Role and Responsibilities**

Manage risk effectively in their job.

Communicate with their line manager to assess areas of risk in their job

Identify new or changing risk in their job and feed these back to their line manager.

Undertake their job within the Risk Management guidelines set down for them by their manager.

Ensure that the Risk Management skills and knowledge passed to them are used effectively.

**RISK CRITERIA FOR IMPACT**

	Factor	Score	Effect on Level of Service	Effect on Quality of service	Embarrassment/reputation	Personal Safety	Personal privacy infringement	Failure to provide statutory duties/meet legal obligations	Financial loss	Effect on Project Objectives/ Schedule Deadlines
<b>OPPORTUNITIES</b>	Exceptional	4	Major improvement to services, generally or across a broad range		Positive national press National award or recognition/elevated status by national government	Major improvement to the health, welfare & safety of stakeholders			Producing more than £50,000	
	Significant	3	Major improvement to service or significant improvement to critical service area		Recognition of successful initiative Sustained positive recognition and support from local press	Significant improvement to the health, welfare & safety of stakeholders			Producing up to £50,000	
<b>THREATS</b>	Catastrophic	4	Major loss of service, including several important areas of service and /or protracted period. Service Disruption 5+ Days	Quality of service deteriorates by over 80% from accepted (ideally defined by PI's) operating parameters.	Adverse and persistent national media coverage Adverse central government response, involving (threat of) removal of delegated powers Officer(s) and/or Members forced to resign	Death of an individual or several people	All personal details compromised/ revealed	Litigation/ claims/fines from Departmental £250k + Corporate £500k +	Costing over £500,000 Up to 75% of Budget	Complete failure of project/ extreme delay – 3 months or more
	Major	3	Complete loss of an important service area for a short period Major effect to services in one or more areas for a period of weeks Service Disruption 3-5 Days	Quality of service deteriorates by between 25% to 60% from accepted (ideally defined by PI's) operating parameters.	Adverse publicity in professional/municipal press, affecting perception/standing in professional/local government community Adverse local publicity of a major and persistent nature Statutory prosecution of a serious nature.	Major injury to an individual or several people	Many individual personal details compromised/ revealed	Litigation/ claims/fines from Departmental £50k to £125k Corporate £100k to £250k	Costing between £50,000 and £500,000 Up to 50% of Budget	Significant impact on project or most of expected benefits fail/ major delay – 2-3 months
	Moderate	2	Major effect to an important service area for a short period Adverse effect to services in one or more areas for a period of weeks Service Disruption 2-3 Days	Quality of service deteriorates by between 10% to 25% from accepted (ideally defined by PI's) operating parameters.	Adverse local publicity /local public opinion aware Statutory prosecution of a non-serious nature	Severe injury to an individual or several people	Some individual personal details compromised/ revealed	Litigation/ claims/fines from Departmental £25k to £50k Corporate £50k to £100k	Costing between £5,000 and £50,000 Up to 25% of Budget	Adverse effect on project/ significant slippage – 3 weeks–2 months
	Minor	1	Brief disruption of important service area Significant effect to non-crucial service area Service Disruption 1Day	Quality of service deteriorates up to 10% away from accepted (ideally defined by PI's) operating parameters.	Contained within section/Unit or Directorate Complaint from individual/small group, of arguable merit	Minor injury or discomfort to an individual or several people	Isolated individual personal detail compromised/ revealed	Litigation/ claims/fines from Departmental £12k to £25k Corporate £25k to £50k	Costing less than £5,000 Up to 10% of Budget	Minimal impact to project/ slight delay less than 2 weeks

**RISK CRITERIA FOR LIKELIHOOD**

FACTOR	SCORE	THREATS - DESCRIPTION	INDICATORS	OPPORTUNITIES - DESCRIPTION	INDICATORS
Very likely	4	More than 75% chance of occurrence	Regular occurrence Circumstances frequently encountered - daily/weekly/monthly	Favourable outcome is likely to be achieved in one year or better than 75% chance of occurrence.	Clear opportunity which can be relied on with reasonable certainty, to be achieved in the short term based on current management processes.
Likely	3	40% - 75% chance of occurrence	Likely to happen at some point within the next 1-2 years Circumstances occasionally encountered (few times a year)	Reasonable prospects of favourable results in one year 40% to 75% chance of occurrence.	Opportunities that may be achievable but which require careful management. Opportunities that arise over and above the plan.
Unlikely	2	10% - 40% chance of occurrence	Only likely to happen 3 or more years	Some chance of favourable outcome in the medium term or less than 40% chance of occurrence.	Possible opportunity which has yet to be fully investigated by management. Opportunity for which the likelihood is low on the basis of management resources currently being applied.
Very unlikely	1	Less than 10% chance of occurrence	Has happened rarely/never before	Less than 10% chance of occurrence	Has happened rarely/never before

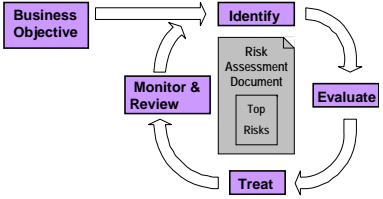
Likelihood					
Very Likely	4	LOW	MEDIUM	HIGH	HIGH
Likely	3	LOW	MEDIUM	MEDIUM	HIGH
Unlikely	2	LOW	LOW	MEDIUM	MEDIUM
Very Unlikely	1	LOW	LOW	LOW	LOW
Impact		Minor 1	Moderate 2	Major 3	Catastrophic 4

THE RISK MATRIX (With Scores)			
4	8	12	16
3	6	9	12
2	4	6	8
1	2	3	4



## Risk, Managed – One Page Summary

Risk Management - is a modern management discipline and is about getting the right balance between innovation and change on the one hand, and the avoidance of shocks and crises on the other

Identify your risks	Evaluate your risks	Treat your risks	Monitor & Review																						
<p>Best done in groups – by those responsible for delivering the objectives</p> <p><b>Risk:</b> it's the chance of something happening that will have an <b>impact</b> on <b>objectives</b></p> <p><b>Event⇒Consequence⇒Impact</b></p> <p><b>Includes:</b> <b>Threats &amp; Opportunities</b></p> <p><b>When:</b> Setting strategic aims Setting business objectives Early stages of project planning &amp; key stages Options appraisals Service improvement plans</p> <p><b>Categories can help:</b> Strategic/Operational Internal/External</p>	<p>Combination of the probability of an event and its consequences</p> <p><b>Impact x Likelihood</b></p> <table border="1" data-bbox="656 651 1151 932"> <tr> <td rowspan="4">IMPACT</td> <td>4</td> <td>8</td> <td>12</td> <td>16</td> </tr> <tr> <td>3</td> <td>6</td> <td>9</td> <td>12</td> </tr> <tr> <td>2</td> <td>4</td> <td>6</td> <td>8</td> </tr> <tr> <td>1</td> <td>2</td> <td>3</td> <td>4</td> </tr> <tr> <td colspan="5">LIKELIHOOD</td> </tr> </table> <ul style="list-style-type: none"> <li><b>11 - 16 HIGH (RED)</b> — Immediate action</li> <li><b>5 - 10 MEDIUM (AMBER)</b> — Review current controls / incorporate into action plan</li> <li><b>1 - 4 LOW (GREEN)</b> — Limited action - long term plans</li> </ul>	IMPACT	4	8	12	16	3	6	9	12	2	4	6	8	1	2	3	4	LIKELIHOOD					<p>Concentrate on 10-15 <b>Top Risks</b></p> <ul style="list-style-type: none"> <li>•Can we reduce the likelihood?</li> <li>•Can we reduce the impact?</li> </ul> <p>Can we change the consequences?</p> <p><b>Avoid</b> <b>Reduce</b> <b>Retain</b> <b>Transfer</b></p> <p><b>Devise Contingencies</b> - Business Continuity Planning</p>	<p><b>Risk Registers:</b> Baseline data to be prepared and monitored regularly. These should clearly indicate consequences, countermeasures and contingencies as well as the risk owner</p> <p>Review <b>Top Risks</b> regularly as agenda item.</p> <p>Report progress to senior management</p> 
IMPACT	4		8	12	16																				
	3		6	9	12																				
	2		4	6	8																				
	1	2	3	4																					
LIKELIHOOD																									

## Key Changes Between 2002 and 2008/09 Risk Management Strategy

2002 Strategy Contents	2008/09 Strategy modifications
<p>“Purpose, Aims and Objectives of Strategy.”</p> <p>2002 Objectives</p> <ul style="list-style-type: none"> <li>• Integration of Risk Management into the culture of the Council</li> <li>• Raising awareness of the need for Risk Management by all those connected with the delivery of services (including Partners, Delivery Agents etc)</li> <li>• Enabling the Council to anticipate and respond to changing social, environmental and legislative conditions.</li> <li>• Minimisation of injury, damage, loss and inconvenience to residents, staff, service users, assets etc arising from or connected with the delivery of Council services.</li> <li>• Introduction of robust framework and procedures for identification, analysis, assessment and management of risk, and the reporting and recording of events, based on best practice.</li> <li>• Minimisation of the cost of risk.</li> </ul>	<p>“Purpose, Aims and Objectives of Strategy” is revised under the following headings:</p> <ul style="list-style-type: none"> <li>• What is Risk Management?</li> <li>• Why is Risk Management Important?</li> <li>• External and Internal influences detailed with reference to prevailing regulatory demands.</li> </ul> <p>Expanded Policy Objectives as per Para. 24 in the new Strategy.</p> <p>Provided definitions of “Risk” and “Risk Management”</p>
<p>Framework for Risk Management Reporting Lines</p> <ul style="list-style-type: none"> <li>• Cabinet</li> <li>• Directors’ Group</li> <li>• Corporate Risk Management Group</li> <li>• Departmental Management Teams</li> <li>• Service Managers</li> <li>• Employees</li> </ul>	<p>Increased detail of framework to involve the following additional groups in italics:</p> <ul style="list-style-type: none"> <li>• Cabinet</li> <li>• <i>Audit And Performance Review Panel</i></li> <li>• Directors’ Group</li> <li>• <i>Insurance And Risk Management Team</i></li> <li>• Directorate Management Team</li> <li>• <i>Risk Champions</i> (replaces Corporate Risk Management Group)</li> <li>• <i>Internal Audit</i></li> <li>• Service Area Managers</li> <li>• Employees</li> </ul>
<p>“Procedures” make reference to use of “Risk, Managed” Toolkit but does not expand on contents of this guide.</p>	<p>Report includes short summary of key stages of the Risk Management Process using aspects from the same “Risk, Managed” methodology.</p>
<p>References to 5-year Best Value Plan</p>	<p>Removed since no longer applicable.</p>
<p>Development of Performance management framework.</p>	<p>This was never pursued so has been removed from the latest proposed version of the strategy.</p>
<p>Risk Management Assisting Project Management</p>	<p>Since the SPRUCE<sup>1</sup> methodology is presently being revised, including the Risk Management elements, this aspect is currently not included in the proposed Strategy. Specific reference will be included in future iterations of the Strategy once the SPRUCE revision is complete.</p>

<sup>1</sup> Specific Projects Running Under a Controlled Environment

RISK MANAGEMENT	CPA Ref	Priority	Planned Start	Responsibility	Dependencies	Planned Review	Notes	% Complete
<b>SERVICE DELIVERY WORK PLAN</b>		H/M/L	Ongoing or specific date		Staffing/workload/availability/budget/recruitment/goodwill/other units and service areas	Monthly/Quarterly/Annually/By Date		
<b>Targets</b>								
Review and update RM Strategy, Toolkit and localised documentation	4.1 / 4.2	L	30/09/2008	Insurance and Risk Manager		Annually	Cabinet review date 10/09/08	100%
Implement governance processes to ensure that strategic risks and key operational risks are reviewed at DMT and Audit & Performance Review Panel.	4.1 / 4.2	H	Ongoing	Insurance and Risk Manager		Quarterly	Internal assessments form part of quarterly reporting process to Audit & Performance Review Panel	100%
Integrate risk management into reports for all panels that make decisions	4.1 / 4.2	H	01/04/2008	All Officers making reports		Annually	Proposal for revision of process being considered by Risk Champions Group	90%
Populate Corporate Risk Register with outputs from comprehensive risk profiling of all service areas in accordance with established methodology.	4.1 / 4.2	H	Ongoing	Insurance and Risk Team	Restructure implemented on schedule.	Monthly	All of the existing risks on the Register should be able to be suitably transferred to the new structure but where more radical changes arise, new Risk Profiles will be undertaken.	75%
Carry out full audit of Corporate Risk Register to ensure all Service Areas have completed and/or reviewed risks within the preceding 12 months.	4.1 / 4.2	M	01/11/2008	Insurance and Risk Manager	Restructure implemented on schedule.	Annually	As above	20%
Champion awareness and report monitoring of Partnership Risks e.g. Partners own risk registers, insurance and Business Continuity arrangements.	4.1 / 4.2	M	Ongoing	Community & Business Partnerships Manager	Appt. of RBWM Partnerships Manager	Annually		100%
Gain industry recognition for the programme of risk management work in the Council.	4.1 / 4.2	L	30/04/2008	Insurance and Risk Manager		Annually		100%
Provide intranet version of Corporate Risk Register and develop functionality	4.1 / 4.2	H	01/04/2008	Insurance and Risk Manager		Monthly		100%
Further integrate risk management into the Audit work programme	4.1 / 4.2	H	Ongoing	Head of Audit and Review		Quarterly		100%
Ensure Comprehensive Area Assessment Community, Neighbourhood and Area risk assessment reflects standards and aspirations of communities (area and outcome focussed e.g. reduce crime, improve education, change peoples' lives). Analyse performance measures and risk controls and agree risk ownership	4.1 / 4.2	M	01/09/2009	Insurance and Risk Manager		Annually	Summer 2008 will see the second joint consultation document setting out the inspectorates' detailed approach to the CAA framework and the methodologies underpinning it.	0%
<b>Risk Management Awareness</b>								
to:-								
- members	4.1 / 4.2	M	08/07/2008	Insurance and Risk Manager		Annually		100%
- champions	4.1 / 4.2	M	16/04/2008	Insurance and Risk Manager		Quarterly		100%

RISK MANAGEMENT	CPA Ref	Priority	Planned Start	Responsibility	Dependencies	Planned Review	Notes	% Complete
<b>SERVICE DELIVERY WORK PLAN</b>		H/M/L	Ongoing or specific date		Staffing/workload/availability/budget/recruitment/goodwill/other units and service areas	Monthly/Quarterly/Annually/By Date		
<b>Targets</b>								
- marshals	4.1 / 4.2	M	15/10/2008	Insurance and Risk Manager		Annually		0%
- risk owners (not part of the above)	4.1 / 4.2	M	15/04/2008	Insurance and Risk Manager		Annually		50%
- schools - bursars, management, governors	4.1 / 4.2	L	01/05/2009	Insurance and Risk Manager		Bi-annually		30%
Train (some of) the above in use of Corporate Risk Register	4.1 / 4.2	H	ongoing	Insurance and Risk Manager		Annually		30%
Review RM methodology	4.1 / 4.2	L	ongoing	Insurance and Risk Manager		Bi-annually		100%
Include in new starters E-Induction Package	4.1 / 4.2	L	01/01/2008	Insurance and Risk Manager		Bi-annually		100%
<b>Publicity</b>	4.1 / 4.2							
Produce and distribute RM Everyone's Business								
- Bursars	4.1 / 4.2	L	01/10/2008	Insurance and Risk Manager		Bi-annually		100%
- Officers	4.1 / 4.2	L	01/10/2008	Insurance and Risk Manager		Bi-annually		100%
- Members	4.1 / 4.2	L	01/10/2008	Insurance and Risk Manager		Bi-annually		100%
- School Governors	4.1 / 4.2	L	01/10/2008	Insurance and Risk Manager		Bi-annually		100%
Review Intranet and RBWM website insurance and Risk content	4.1 / 4.2	M	ongoing	Insurance and Risk Manager		Monthly		100%
Include Risk as Agenda item at Directors Group and DMT's	4.1 / 4.2	H	ongoing	Insurance and Risk Manager		Quarterly	As part of quarterly reporting cycle to Audit & Performance Review Panel	100%
<b>Policy and Procedure</b>								
Review, amend and agree the following documents:-								
Risk Management Strategy	4.1 / 4.2	H	30/09/2008	Insurance and Risk Manager		Annually		100%
"Risk Management - Everyone's Business" pamphlets	4.1 / 4.2	L	01/12/2008	Insurance and Risk Manager		Annually		100%

<b>RISK MANAGEMENT</b>	<b>CPA Ref</b>	<b>Priority</b>	<b>Planned Start</b>	<b>Responsibility</b>	<b>Dependencies</b>	<b>Planned Review</b>	<b>Notes</b>	<b>% Complete</b>
<b>SERVICE DELIVERY WORK PLAN</b>		H/M/L	Ongoing or specific date		Staffing/workload/availability/budget/recruitment/goodwill/other units and service areas	Monthly/Quarterly/Annually/By Date		
<b>Targets</b>								
<b>Reporting</b>								
Completion/Review of Corporate Risk Register by grade of Service Area	4.1 / 4.2	H	Ongoing	Insurance and Risk Manager	Officers appointed in Key Roles	Monthly		90%
% of claims closed within 6 months of notification for classes of business: Property, liability, Motor, Supply Teacher	4.1 / 4.2	M	Ongoing	Insurance and Risk Manager		Monthly		100%
Present Risk Reports quarterly to Audit and Performance Review Panel	4.1 / 4.2	H	Ongoing	Insurance and Risk Manager		Quarterly		100%
Survey Officers to identify knowledge gaps, embedding of Risk Management etc	4.1 / 4.2	H	01/01/2009	Insurance and Risk Manager		Annually		0%
2008/09 and 2009/10 RM Report to Cabinet to include summary of risk identification and evaluation methodologies and state extent to which strategic and operational risks have been assessed across the Directorates.	4.1 / 4.2	H	30/09/2008	Insurance and Risk Manager		Annually	Cabinet review date 10/09/08	100%
<b>Training and Development</b>								
Review Team Training needs regularly - regular seminars on insurance/legal/risk topics run through local and regional ALARM groups, brokers, insurers and Solicitors.	4.1 / 4.2	M	Ongoing	Insurance and Risk Manager		Monthly		100%