

Appendix A1: Risks subsequently removed from Schedules presented to Panel at meeting 17th February 2009

Service Area Risk Children's Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS3. 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>Treatment Measures</p> <ul style="list-style-type: none"> • 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. • Area Children's Teams now integrated into a single team with one Manager. <p>Current Status of Treatment Measures Refer to Ofsted's most recent inspections as necessary.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> ▪ Area Children's Teams will be reorganised into a family-focused team and a schools team across the Borough <p>Performance Measures Refer to Ofsted's most recent inspections as necessary.</p>	<p>Uncontrolled Score: HIGH Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/very likely</p> <p>Current Score: LOW Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Cliff Turner, Head Of Children & Young People</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 30 January 2009</p>

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Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹
<p>RES4 Revenues and Benefits</p> <ul style="list-style-type: none"> • Failure to retain and recruit staff 	<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. 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.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Direct recruitment procedures towards people with backgrounds in Finance. b. Remote processing companies are more commonly available for additional support/flexibility but Academy² currently not available for remote access. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. Agency staff only used to cover long-term sickness and maternity leave. No other FTE posts covered by Agency staff. b. Currently in test environment in advance of availability on Supplier Portal. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Moderate/Likely Reputation: Major/Likely Service Delivery: Major/Likely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Minor/Very unlikely Reputation: Minor/Very unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW 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: 5th February 2009</p>

¹ 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.

² The Revenues and Benefits IT System employed by the Council.

³ Department for Work and Pensions

⁴ Finance Management team

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	<p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none">• None <p>Performance Measures</p> <ul style="list-style-type: none">• National Indicators under “Maintaining a Vibrant Economy”<ul style="list-style-type: none">○ NI 180 – reflects changes in circumstances applications in current financial year. Target is 6556 but data yet to be extracted from the Council by DWP3 so unable to comment on progress.○ NI 181 – Time taken to process new Housing Benefit claims. 2008/09 Target is an average of 12 days.• Local indicator – assess all new claims in <25 days. Monthly• Council Tax – stretching targets for collection rates/month. Regular detailed report from Head of Revs & Bens to FMT⁴		
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Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners⁵
<p>RES5 All service areas</p> <ul style="list-style-type: none"> Change management failure – IT systems 	<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>Treatment Measures</p> <ol style="list-style-type: none"> A product called Mimesweeper, which aims to trap traffic that poses any risk in view of its content or 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Moderate/Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Keith Clark, Head of Business Improvement</p> <p>Cllr Liam Maxwell</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 5th February 2009</p>

⁵ 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.

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	<p>attachments, filters all inbound and outbound mails.</p> <p>b. 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 destroyed).</p> <p>Current Status of Treatment Measures</p> <p>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.</p> <p>b. Ongoing daily. There is a risk that mails that should be released to inboxes may be destroyed.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none">• None <p>Performance Measures</p> <p>a. The Mimesweeper product has self-learning capabilities, which allow it to react to changing patterns of traffic. Updated configuration files are downloaded nightly.</p> <p>b. Reviews of the filtered mails take place several times throughout the working day, to ensure mails are released in a timely manner.</p>		
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Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners⁶
<p>AC9. Housing Options Team</p> <ul style="list-style-type: none"> Economic downturn/recession. 	<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. Others may become homeless through an inability to pay their rent.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Continuous monitoring of applications and vigilance to early indications of repossession. Awareness of Government measures to support home ownership. <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> Both ongoing <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> Provision of alternative types of temporary accommodation. Chris Thomas to advise Cllr Dudley of potential resource requirements should the present economic climate worsen and conditions harden. In such a situation, the Current Risk Assessment Score is likely to be revised to High <p>Performance Measures</p> <ul style="list-style-type: none"> None 	<p>Uncontrolled Score: HIGH Financial: Major/very likely Legislation: Moderate/very likely Reputation: Moderate/very likely Service Delivery: Major/very likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Moderate/Likely Reputation: Moderate/Likely Service Delivery: Major/ Likely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Likely Legislation: Moderate/Likely Reputation: Moderate/Likely Service Delivery: Moderate/unlikely</p>	<p>Chris Thomas, Head of Housing & Residential Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 8th January 2009</p>

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Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners⁷
<p>AC10. All Services</p> <ul style="list-style-type: none"> • Loss of data 	<p>Loss of data causes delays and errors in business processes leading to significant harm or mortal danger to a client.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. BID perform daily backup and contract with SUN (who provide Ultraspac server to run CRIS etc) to retrieve all systems data. b. All key critical documents retained as paper records. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. In place b. In place <p>New Treatment measures and Modifications following last review</p> <p>BIU plan in place to re-site data back up tapes which will improve security.</p> <p>Performance Measures</p> <p>None at this time</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Major/Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Major/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Major/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Tba – likely to be 4 risk owners representing Service Area mgrs in A&C. Allan Brown to advise further.</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last review: 8th January 2009</p>

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Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners⁸
<p>AC11. Outdoor Facilities</p> <ul style="list-style-type: none"> • Inadequate maintenance, investment equipment <p style="text-align: right;">repair, in</p>	<p>Failure to manage trees in Council parks⁹ leads to collapse, damage to property, injury, compensation claims and damaged reputation.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Ensure trees regularly surveyed. b. Await Government guidance, anticipated through legislation on inspection frequencies and adjust service to meet this. c. Complete audit of trees to determine resources required for compliance with government guidance in “b”. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. Surveyed every two years. Re-inspected if deemed a high risk on a time frame set by the tree officer doing the survey. b. Although results were anticipated during late 2008, the outcome of negotiations is still awaited. c. In progress subject to “b”. <p>New Treatment measures and Modifications following last review</p> <p style="padding-left: 40px;">None</p> <p>Performance Measures</p> <p style="padding-left: 40px;">Bi-annual inspection programme in place.</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Major/Very likely Reputation: Major/Very likely Service Delivery: Minor/Very unlikely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p>	<p>Kevin Mist, Head of Leisure Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last Officer review: 8th January 2009</p> <p>Date of last Member review: 8th January 2009</p>

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Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners¹⁰
<p>AC14. Adult Services</p> <ul style="list-style-type: none"> Debt recovery failure 	<p>Write off over more than 5% of debt due to non-payment or collection failure causes reputation damage, fall in income and service reduction.</p> <p>Treatment Measures</p> <p>Current Status of Treatment Measures</p> <p>Performance Measures</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Major/Very likely Reputation: Major/Very likely Service Delivery: Major/Very likely</p> <p>Current Score: Financial: Legislation: Reputation: Service Delivery:</p> <p>Controlled Score: Financial: Legislation: Reputation: Service Delivery:</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: 8th January 2009</p>

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Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners¹¹
<p>ENV8 Financial Planning</p> <ul style="list-style-type: none"> • Failure to obtain or maintain a commitment to sustainability 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Green Waste Initiative Revised Disposal Contracts Educate Residents <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Proposed, Terry Gould as Lead Officer In progress, Terry Gould as Lead Officer In progress, Terry Gould as Lead Officer <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>None</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p>Current Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p>Controlled Score: MEDIUM Financial: Catastrophic/Unlikely Legislation: Catastrophic/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Andrew Brooker, Head of Finance</p> <p>Cllr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last review: 29th January 2009</p>

Appendix A - Current Key Strategic Risks as at 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹
<p>KSR1. Inadequate Retention and Recruitment of quality Staff and especially senior and specialist staff.</p>	<p>a. Pay and Workforce Development Plan incl. Senior Managers pay review, Allowances review, expansion of Menu of Benefits, EQIA² of Equal pay issues and action plan.</p> <p>b. Recruitment Strategy incl. RBWM image as Employer of Choice, collaborative working</p> <p>c. Staff engagement with RBWM vision including activities focussing on customer relationship management</p> <p>d. Staff development inc key skills/competencies</p> <p>e. Succession planning including Future Leaders programme</p> <p>Current Status of Treatment Measures</p> <p>a. Senior Managers' pay review commenced. Working group for allowance review in place, programme in place for modelling. Market testing of additional benefit options planned for March/April. Preparations for EQIA commenced.</p> <p>b. Strategy to be drafted.</p> <p>c. Ongoing</p> <p>d. Appraisals inform PDP³'s, corporate training plan to address overall generic requirements, competencies to be integrated into recruitment assessments.</p> <p>e. Succession Planning template to be rolled out to all service areas, continuation of Future Leaders development activities</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Very Likely Legislation: Moderate/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> • Carol Naismith (Head of Human Resources) • Councillor Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 6th March 2009</p> <p>Date of last Member review: 16th April 2009</p>

¹ 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.

² EQIA – Equality Impact Assessment

³ PDP – Personal Development Plans

⁴ This is a PI set by the Audit Commission for all local authorities as an equality measure

Appendix A - Current Key Strategic Risks as at 16th April 2009

	<p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none">• Complete review as in detail above. <p>Performance Measures</p> <ul style="list-style-type: none">• Plans to include appraisal outcomes in Trent and report via scorecard• Monitoring of staff turnover• Top 5% of earners that are women.⁴ February performance was 43.42%, 11.39% below target of 49%.• Gender split		
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Appendix A - Current Key Strategic Risks as at 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁵
<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>Current Status of Treatment Measures All in place</p> <p>Actions since last review None</p> <p>Performance Measures None</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Minor/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p>	<ul style="list-style-type: none"> • Ian Trenholm, Chief Executive • Councillor Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 1st April 2009</p> <p>Date of last Member review: 16th April 2009</p>

⁵ 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.

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners⁶
<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 (BCP) 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>Current Status of Treatment Measures</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 a Review process.</p> <p>c. Contact details regularly revised and checked.</p> <p>Actions since last review: Business Continuity Project Board created. Recruitment of a dedicated BCP Officer in progress. Software to support BCP being purchased.</p> <p>Performance Measures: % of Critical Services with BCP Plans/Mitigation measures in place.</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Catastrophic/Very Likely Service Delivery: Major/Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Likely Reputation: Major/Unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • David Perkins (Head of Streetcare and Operations) • Councillor Rayner <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 2nd April 2009</p> <p>Date of last Member review:</p>

⁶ 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.

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁷
<p>KSR4. Failure to reduce costs of the Council's bought in goods and services.</p>	<p>Treatment Measures</p> <p>a. Ensure that there is a strategy in place to achieve targets implicit in Medium Term Financial Plan (MTFP).</p> <p>b. Monitor projects and resultant savings to ensure that they are made in sufficient time to meet year-on-year targets.</p> <p>c. Ensure that any failure is, in the first instance, escalated to the Procurement Programme Board.</p> <p>d. Ensure that a remedial plan is prepared to cover any slippage or failure to deliver savings.</p> <p>Current Status of Treatment Measures</p> <p>a. In order to ensure that sufficient reduction is achieved in the Council's spend on bought in goods and services in 2010/2011 a strategy for reviewing and prioritising expenditure was considered at the Procurement Programme Board in early 2009. The integration of the strategy with overall corporate savings and the MTFP will be considered at CMT on 15 April 2009.</p> <p>b. Savings are monitored on a monthly basis being separately reported to the Procurement Programme Board, the Lead</p>	<p>Uncontrolled Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Major/Likely Service Delivery: Minor/Unlikely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Very Unlikely Reputation: Major/Unlikely Service Delivery: Minor/Very Unlikely</p> <p>Controlled Score: LOW Financial: Major/Very Unlikely Legislation: Minor/Very Unlikely Reputation: Major/Very Unlikely Service Delivery: Minor/Very Unlikely</p>	<ul style="list-style-type: none"> • Gary Richardson (Head of Procurement and Efficiency) • Councillor Hilton <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 9th April 2009</p> <p>Date of last Member review:</p>

⁷ 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.

⁸ Berkshire Procurement and Shared Services Unit

⁹ Improvement & Efficiency South East (IESE) is the South East Regional Improvement & Efficiency Partnership, established to help the region's 74 local authorities in their drive to increase efficiency and improve services.

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	<p>Member for Finance and feature on the monthly reporting via the Balanced Scorecard for Procurement & Efficiency.</p> <p>c. The Procurement Programme Board meets monthly and reviews the status of savings projects and receives, by exception, any matters requiring escalation.</p> <p>d. The Procurement Programme Board receives remedial plans in order to ensure that the overall targets of the MTFP are achieved.</p> <p>New Treatment measures and Modifications following last review</p> <p>KSR4 has been reviewed in order to provide less reliance on savings from BPSSU⁸ and IESE⁹ and ensure that sole responsibility for the achievement of procurement savings sits with Council officers and Members and not with third party organisations where there is limited sanction in the event of failure to deliver.</p> <p>Performance Measure</p> <p>Via monthly reporting on corporate savings to Procurement Programme Board and Lead Member for Finance and reporting in Balance Scorecard. for Procurement and Efficiency</p>		
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Appendix A - Current Key Strategic Risks as at 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹⁰
<p>KSR5. Failure to successfully plan and deliver 2012 Olympic and Paralympic Games in the form of:</p> <ol style="list-style-type: none"> 1. Main rowing 2. Flat water canoeing 3. Adaptive rowing 4. A compelling and identifiable “legacy”. 	<ol style="list-style-type: none"> 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. SEEDA¹¹ are the lead stakeholder for planning and securing the best benefit of being Olympic hosts. b. Undertake Risk Assessment of RBWM role. c. Post Beijing, expect major change in priority and step up in associated activity. d. LOCOG¹² to be adequately engaged to ensure their expectation on the hosting Local Authorities is clear. e. Director specifically accountable for leading this work. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> 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. b. Initial RA completed but due to be revised in conjunction with review of Olympic Strategy development including role of and relationship with 	<p>Uncontrolled Score: HIGH Financial: catastrophic/likely Legislation¹⁵: moderate/unlikely Reputation: catastrophic/likely Service Delivery: major/likely</p> <p>Current Score: MEDIUM Financial: Major/likely Legislation: Moderate/unlikely Reputation: Major/likely Service Delivery: Major/likely</p> <p>Controlled Score: LOW Financial: Major/Very unlikely Legislation: Minor/Very unlikely Reputation: Major/Very unlikely Service Delivery: Major/Very unlikely</p>	<ul style="list-style-type: none"> • Ian Trenholm (Chief Executive) and David Oram (Strategic Director of Environmental Services) <p>Cllr involvement: Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 1st April 2009</p> <p>Date of last Member review:</p>

¹⁰ 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.

¹¹ 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

¹² The London Organising Committee of the Olympic and Paralympic Games is responsible for preparing and staging the 2012 Games.

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	<p>Sectoral Group and respective focus.</p> <p>c. ODA¹³ will increase their 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 involved¹⁴ to meet with ODA to ensure a joint focus and deliver opportunities with partners.</p> <p>d. Ongoing.</p> <p>e. David Oram, Director of Environmental Services, takes this role.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • None. <p>Performance Measures</p> <ul style="list-style-type: none"> • No Local PI's or National Indicator Sets (NI's) yet specified 		
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¹³ "Olympic Delivery Authority" - the single delivery body responsible for creating the infrastructure for the Olympic and Paralympic Games in London in 2012.

¹⁴ RBWM, South Bucks District Council, Buckinghamshire County Council, Slough Borough Council

¹⁵ Legislation in the form of the London Olympic Games and Paralympic Games Act 2006, Olympic Symbol etc. (Protection) Act 1995

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners¹⁶
<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. Well understood LAA's¹⁷.</p> <p>g. Ensure Risks of Partnership working are assessed to the standard required by Audit Commission guidance in this area.</p> <p>Current Status of Treatment Measures</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 & Partnerships Manager are meeting with Housing Associations to further strengthen relationship with Housing associations.</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Moderate/Likely Reputation: Major/Very likely Service Delivery: Major/Very likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • Harjit Hunjan, Community & Business Partnerships Manager • Councillor Mrs Bateson <p>Frequency of review: quarterly</p> <p>Date of last Officer review: 5th February 2009</p> <p>Date of last Member review:</p>

¹⁶ 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.

¹⁷ LAA – Local Area Agreements

Appendix A - Current Key Strategic Risks as at 16th April 2009

	<p>c. £6k support funding successfully secured by Partnership Manager to undertake a 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 CAA¹⁸</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>New Treatment measures and Modifications following last review Revised Local Strategic Partnership met and Chairmanship moved to Chief Executive.</p> <p>Performance Measures</p>		
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¹⁸ 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 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners¹⁹
<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"> • Inefficient and ineffective management • Misdirected/wasted resources • Failure to meet targets/continuous improvement <p>Failure to adopt consistent and effective Project Management procedure leads to:</p> <ul style="list-style-type: none"> • Projects running over time or budget. • Projects failing to realise adequate benefits. • Inappropriate projects undertaken • Reputation damage • Standards not commonly applied 	<ol style="list-style-type: none"> a. Ensure named Officer is explicitly tasked for executing each task. b. Project management to ensure deadlines and other time boundaries that make sure things get done. c. Track the cost of implementing the strategic plan so that return-on-investment and other calculations can be done. d. Revised SPRUCE methodology. e. Balanced Scorecard rolled out – reviewed monthly by Chief Executive for every service since June 2008. f. Top 30 projects captured and managed on Work Together with monthly review by Senior Management Team. <p>Current Status of Treatment Measures a. – f. In place.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • None <p>Performance Measures Refer to Balanced Scorecard</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Likely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> • Andrew Elkington, Head of Policy and Performance • Councillor Liam Maxwell <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 1st April 2009</p> <p>Date of last Member review:</p>

¹⁹ 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 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners²⁰
<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>Treatment Measures</p> <ol style="list-style-type: none"> Effective project plans and monitoring. Lead Member briefings, Cabinet Reports Overview and Scrutiny panel process. Use of Surveys, Stakeholder groups (incl. customers), consultation on Policy and Strategy. Decisions to comply with Council constitution. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place as revised SPRUCE 3 methodology. Latest report writing papers updated August 2008. In place In place In place <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <ul style="list-style-type: none"> Balanced Scorecard Quarterly Performance Update Report to Audit & Performance Review Panel 	<p>Uncontrolled Score: HIGH Financial: Moderate/Very Likely Legislation: Moderate/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: LOW Financial: Minor/Very Unlikely Legislation: Minor/Very Unlikely Reputation: Minor/Very Unlikely Service Delivery: Minor/Very unlikely</p> <p>Controlled Score: LOW 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 Officer review: 1st April 2009</p> <p>Date of last Member review:</p>

²⁰ 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 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners²¹
<p>KSR9. Loss of data or inadequate data security leads to delays and errors in business processes.</p>	<p>Treatment Measures</p> <ul style="list-style-type: none"> a. BID perform backup and contract with SUN (who provide Ultraspac server to run CRIS etc) to retrieve all systems data. b. All key critical documents retained as paper records. c. Secure data backup facility being developed at Tinkers Lane premises. d. Move to encrypted memory sticks. e. CD/DVD burning restricted to Officers with Manager's authorisation. f. Migration of all RBWM applications to run in a virtual environment. g. Bulk data shredding for confidential documents <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> a. Undertaken daily b. Ongoing c. In progress d. In place from 06/02/09. e. In place f. Ongoing g. In place <p>New Treatment measures and Modifications</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Major/Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • Keith Clark (Head of Business Improvement) • Cllr Liam Maxwell <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 1st April 2009</p> <p>Date of last Member review:</p>

²¹ 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 16th April 2009

	<p>following last review</p> <ul style="list-style-type: none">• None <p>Performance Measures</p> <p>None at present</p>		
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Appendix A - Current Key Strategic Risks as at 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR10. Fall in economic vitality</p>	<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>Treatment Measures</p> <ul style="list-style-type: none"> a. Use of distinct Quality Systems to encourage customers to return. b. Building and property maintenance kept to high quality standards. c. Car Parks maintained to an attractive standard. d. Consider market rates for rents, fees and charges and other Economic intelligence e. Enforcement of collection and monitoring of compliance with e.g. Fixed Penalty Notices, Rents. f. Forward planning of budget g. Respond to economic and emerging policy signals. <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> a. Embedded in day-to-day business protocols. b. Ongoing Capital and Revenue programmes. c. Daily and weekly cleaning programmes. d. Reviewed against market competitors annually. e. Debt recovery procedures carried out to national standards. f. Established as an annual Council process. g. Monthly monitoring of targeted income against actual income. Monitor number of facility users. <p>New Treatment measures and Modifications following last review - None</p> <p>Performance Measures – In development: create a set of Performance Indicators to effectively measure the Impact and Likelihood of change.</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Minor/Unlikely Reputation: Major/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Various: Andrew Brooker, Head of Finance, Kevin Mist, Head of Leisure Services Mark Taylor, Head of Libraries and Arts Tim Slaney, Head of Planning and Development (for S.106 monies)</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 1st April 2009</p> <p>Date of last Member review:</p>

Appendix A - Current Key Strategic Risks as at 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ²²
<p>KSR11. Inadequate assessment of customers' needs</p>	<p>No Customer Management Strategy will lead to uncoordinated customer experience and service provision.</p> <p>Treatment Measures</p> <ul style="list-style-type: none"> • Customer Management Strategy in development <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> • Draft due for consultation in April 09 • October 2009 update report to Corporate Overview & Scrutiny Panel. <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • None, new risk <p>Performance Measures</p> <p>Regular reports to Overview and Scrutiny Panel will ensure the strategy is developed on time and is fit for purpose.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> • Jonathan James (Head of Customer Management) • Cllr David Hilton <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: New risk from 31st March 2009</p> <p>Date of last Member review:</p>

²² 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 16th April 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ²³
<p>KSR12. Project Management Failure</p>	<p>Failure to deliver Maidenhead Rejuvenation Programme on time and/or on budget.</p> <p>Treatment Measures</p> <ul style="list-style-type: none"> a. Adoption of the “Vision for Maidenhead Town Centre” as the strategy for the town centre. b. Broadway Triangle Planning Brief c. Agree timescale for delivery of the Masterplan for the town centre d. Discuss and finalise Local Development Scheme with GOSE in order to provide firm basis for progressing with Town Centre Area Action Plan (AAP) <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> a. Consultation 30/09 – 14/11/08. Cabinet approval obtained January 2009. b. Adopted in December 2008 and informing negotiations on that site. c. Now agreed by PRoM²⁴, with consultants DTZ/BDP leading. Project inception process began at PRoM meeting 16th March 2009. Progress on other areas including Public Realm Strategy, Traffic Model and Waterways Framework in accordance with project plan. d. Timetable for preparation of AAP to co- 	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Very Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Catastrophic/Unlikely Legislation: Major/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • Tim Slaney (Head of Planning and Development) • Cllr David Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: New risk from 1st April 2009</p> <p>Date of last Member review: 16th April 2009</p>

²³ 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.

²⁴ PRoM: Partnership for the Rejuvenation of Maidenhead. Established in 2007 representing a partnership to promote the improvement and regeneration of the town centre with membership drawn from local organisations, business interests and cross party Council representation together with professional Officer support.

Appendix A - Current Key Strategic Risks as at 16th April 2009

	<p>ordinate with programme for all planning policy work submitted to Government for 'adoption'. Formal acceptance awaited but emailed response from regional office confirms acceptability of programme and in particular 'fast tracking' the AAP ahead of any Core Strategy.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • None, new risk <p>Performance Measures</p> <ul style="list-style-type: none"> • Monthly meetings of project team (Programme Board) to precede meetings of PRoM who oversee works as a mini LSP for the Town Centre. Report to CMT in April 2009 on progress. • Other with relevant detailed technical skills work on individual projects and invited to Project Board to report progress/seek advice or assistance as detailed project work progresses. 		
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Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹
<p>ENV1. Highways drainage</p> <ul style="list-style-type: none"> • Impact of flooding 	<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>Treatment Measures</p> <ol style="list-style-type: none"> a. Lobby Thames Water to pursue further improvements to maintain adequate drainage b. Identify and condition programme improvements/maintenance to RBWM drains. c. Increase community awareness of “abused” drains esp. in Windsor (oldest infrastructure) d. Ensure viable alternative centres for providing response to any disruptive incidents in the local community. e. RBWM Flood Plan on Council Internet for public f. Provide Rest Centre training. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. This is a capacity problem and is largely in the control / purview of Thames Water as opposed to RBWM. Continued lobbying of Thames Water. b. Programme for gully emptying ongoing. Capital programme for land drainage schemes. Recent completion of two major capital schemes. 	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/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 Officer review: 2nd April 2009</p> <p>Date of last Member review:</p>

¹ 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.

² After the floods of 2007, Sir Michael Pitt was asked to carry out a review of the country's flood defences. “The Pitt Review: Lessons learned from the 2007 floods” containing several key recommendations was published in June 2008.

Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

	<p>c. Pan-Berkshire work for “Self-Help for Flood” Exhibitions held in October 2008 to assist local residents/businesses to acquire suitable flood reduction/prevention guidance and equipment.</p> <p>d. Community Flood Plan now rolled out to Parish Councils.</p> <p>e. In place from August 2008</p> <p>f. Completed rest centre training May 2008.</p> <p>New Treatment measures and Modifications following last review</p> <p>Develop Multi-agency Flood Group to implement recommendations from the Pitt Report².</p> <p>Performance Measures</p> <p>Compliance with Pitt Report recommendations.</p>		
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Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners³
<p>ENV2 Highways maintenance</p> <ul style="list-style-type: none"> • Failure to meet minimum legislative requirements. 	<p>Failure to maintain roadsurfacing and streetscene (carriageways, footways, signs, lines etc) to statutory minimum level to maintain safe standards.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Written protocols accounting for current legislation re: inspection regimes with highways repairs to agreed standards for relevant Officers to operate to. b. Reactive crew to respond to call-outs and non-hazardous defects. Standards differ according to emergency and non-emergency works. c. Emergency repairs usually reported by public with immediate response by standard procedure. Other Officers also report defects in addition. d. Planned work by association with Capital Programme. e. Officers all briefed on use of Council handbook for assessing road conditions which has been compiled with regard to legislation f. Provide regular claims statistics to demonstrate success/failure of defences based on inspection programme. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. – e. All in place, f. In place, provided quarterly. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Catastrophic/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Stephen Brown, Head of Highways & Engineering</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

³ 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 Environment Directorate as at 16th April 2009

	<p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures Inspection frequencies adhere to Highways Maintenance Management System, History of Works Orders</p>		
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Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners⁴
<p>ENV3 Public Protection</p> <ul style="list-style-type: none"> • Failure to meet minimum legislative requirements for 1) food, 2) Health and Safety, 3) Housing 	<p>Failure to meet preventative statutory obligations results in death to employee/third parties and consequent prosecution, fines and negative publicity.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. The Council's policy in respect to Food Safety is to inspect 80% of high-risk food premises and to target Health & Safety in premises in line with HSE themes given the levels of available resources and capacity. b. The new House in Multiple Occupation (HMO) Inspection regime is being developed to prioritise high-risk identified sites. c. Council Tax protocols to identify and report multiple registrations at the same address which target potential new sites for investigations. 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. e. FSA⁵/HSE⁶ Reporting. f. Promotional activity i.e. community awareness in “Around the Royal Borough”. g. Provision of sufficient and competent resource capacity. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p>Current Score: HIGH Financial: Major/Very Likely Legislation: Catastrophic/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Unlikely</p> <p>Controlled Score: LOW 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 Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

⁴ 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.

⁵ 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.

⁶ 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 B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

	<p>Current Status of Treatment Measures</p> <ul style="list-style-type: none">a. Reviewed annually by Cabinetb. In progressc. In placed. Ongoinge. In placef. Ongoingg. In progress <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <ul style="list-style-type: none">• Inspect 80% of high-risk food premises.• All High Risk premises to be inspected during 2008		
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Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners⁷
<p>ENV4 Asset Management and Health and Safety</p> <ul style="list-style-type: none"> • Failure to meet minimum legislative requirements 	<p>Failure to apply a Legionella policy, Asbestos Policy and a Fire Safety Policy. Leads to damage, breaches of legislation and possible punitive measures including public criticism, fines, compensation claims.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Systematic inspection and testing regimes. b. Asbestos Plan. c. Staff awareness and training d. External contractor awareness as part of Designated Site Manager (DSM) policy. e. Sampling regime for Legionella testing. f. Implement Asset Management software to integrate site information. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. In place b. In place c. DSM’s undertake this d. DSM’s appointed. e. Quarterly for Legionella and monthly temperature checks. f. Approved and implementation scheduled by March 2009 <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>Corporate Health and Safety Plan contains Outcome Targets, Risk Assessment of failures, Due Dates and Officer responsibilities.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Unlikely Legislation: Catastrophic/Likely Reputation: Catastrophic/Likely Service Delivery: Major/Likely</p> <p>Current Score: LOW Financial: Moderate/Very unlikely Legislation: Catastrophic/Very unlikely Reputation: Major/Very unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW 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 David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

⁷ 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 Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners⁸
<p>ENV5 Highways</p> <ul style="list-style-type: none"> • Winter Maintenance of Highways and Transport network 	<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>Treatment Measures</p> <ol style="list-style-type: none"> a. Comprehensive annual Winter Maintenance plan detailing roles, responsibilities, contractors incl. gritting routes, grit ordering, Designated Duty Officer. 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. c. Duty Officer takes daily responsibility for implementing Winter Maintenance launch and roll-out. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. In place b. In place c. Available daily <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>None at present</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Moderate/Very likely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW 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 Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

⁸ 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 Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners⁹
<p>ENV6 Public Safety and Protection</p> <ul style="list-style-type: none"> Failure to deliver services at agreed cost/specification/quality 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Implement BMW¹⁰ reduction strategy. Procure suitable disposal facility by 2013 Recycling initiatives to reduce tonnages. Community and public awareness of waste minimisation schemes. Contract meetings and monitoring. Member Waste Working Group set up <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place Ongoing Profile increased linked to sustainability objectives – f. Ongoing <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> Waste Treatment & Disposal Project Board set up including Legal, Audit, Accountancy, Insurance, Risk and Procurement Officer representation. <p>Performance Measures</p> <ul style="list-style-type: none"> Work..Together and national PI framework available. Risk Management framework accompanies this project and is used as part of reporting mechanism to Programme Board. 	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Unlikely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Major/Likely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW 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>CIr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

⁹ 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.

¹⁰ Biodegradable Municipal Waste

Appendix B - Current Operational Risks rated as “High” by Environment Directorate as at 16th April 2009

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners¹¹
<p>ENV7 Assets and Building Services</p> <ul style="list-style-type: none"> Failure to maintain property portfolio 	<p>Failure to set policy and implement either reactive maintenance and/or CDM Regulations for associated in-house Building Services Management activities leads to injuries, substantial compensation claims from breach of statutory duty and negative publicity.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Undertake annual inspections Specific project to address CDM as applying to building works at RBWM schools (see key Children’s Services Risk ref: CS7 for additional detail): Business & health and safety risk assessment carried out via the LEA Liabilities Group. Provide training to RPBS's (Responsible Persons for Building Health & Safety) and appointed Deputy RPBS's for CDM and any others who are responsible for operating CDM policy and tools. LEA Liabilities Group to ensure outstanding control measures are agreed and put in place e.g. vetting of contractors etc. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Ongoing Implemented Completed June 2008 Five sessions held September – December 2008 although these were predominantly for school RPBS’s. A further CDM training session is arranged for 11th June, with plans for more in October/November. Ongoing 	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Major/Very likely Reputation: Catastrophic/very likely Service Delivery: Catastrophic/very likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Major/Unlikely Reputation: Major/Unlikely Service Delivery: Moderate/unlikely</p> <p>Controlled Score: LOW 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 and Cllr Mrs Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th January 2009</p> <p>Date of last Member review:</p>

¹¹ 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 Environment Directorate as at 16th April 2009

	<p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures Number of RPBS's who have attended training. Out of 63 schools, 29 RPBS and 33 Deputies have attended CDM training</p>		
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Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners¹
<p>CS1. 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>Treatment Measures</p> <ul style="list-style-type: none"> a. Adventure Activities Licensing Authority held by Offsite Activities co-ordinator. b. Ensure processes and systems to enable robust defence of civil or criminal actions that may nonetheless occur. c. Clear eligibility criteria for referrals to Safeguarding Teams d. Provide Awareness Training for teams. e. Produce and review all Safeguarding plans. f. Investment in Advanced Skills Teachers (AST) standards to enable staff to provide detailed advice re: PE, Design and Technology issues. g. Plans in hand to develop frontline in-service training for Social Workers regarding Child Protection. <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> a. In place and up to date. b. Recent Child Protection inspections from Ofsted, Audit Commission and CSCIⁱⁱ have all confirmed safe practices are in place at RBWM. c. In place d. Undertaken regularly. e. All plans regularly reviewed as fit for purpose with audit trail. f. AST’s in place. g. In place. <p>New Treatment measures and Modifications following last review</p> <p>Advertising to recruit more AST’s.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Unlikely Legislation: Moderate/Very Likely Reputation: Catastrophic/Very Likely Service Delivery: Moderate/ Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Moderate/Very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Very Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Very unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

	<p>Performance Measures</p> <p>See “b” above. In addition, there are several National Indicators for children’s social care:</p> <p>NI 59 – Initial assessment for children’s social care carried out within 7 working days of referral.</p> <p>NI 60 – Core assessments for children’s social care that were carried out within 35 days of their commencement.</p> <p>NI 64 – Child protection plans lasting 2 years or more.</p> <p>NI 65 – Children becoming the subject of a Child Protection Plan for a second or subsequent time.</p> <p>NI 67 – Child protection cases which were reviewed within required timescales.</p> <p>NI 68 – Referrals to children’s social care going on to initial assessment.</p> <p>NI 69 – Children who have experienced bullying.</p> <p>NI 70 – Hospital admissions caused by unintentional and deliberate injuries to children and young people.</p> <p>NI 71 – Children who have run away from home/care overnight.</p>		
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Appendix C - Current Operational Risks rated as "High" by Children's Services Directorate as at 16th April 2009

Service Area Risk Children's Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS2 Schools</p> <ul style="list-style-type: none"> Inadequate repair & maintenance/investment in equipment 	<p>Failure of reactive maintenance to address problems in schools leads to exposure to injuries due to building failures.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Conditions surveys carried out in all schools as part of the Council's rolling programme. All school sites were inspected for appropriate treatment of hazards to those working at heights under CDMⁱⁱⁱ Regulations. CDM assessment matrix to assist schools with planned maintenance. Department for Children, Schools and Families^{iv} Web Portal available. Help desk for schools. The Council has recently purchased the Technology Forge system which has a module that will enable schools to cost and monitor projects. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place – schools receive condition reports Done In place In place In place Will report on rollout at next quarterly update. <p>New Treatment measures and Modifications following last review</p> <p>Performance Measures</p> <ul style="list-style-type: none"> Records of inspection frequency and follow up works 	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Major/Very likely Reputation: Catastrophic/very likely Service Delivery: Catastrophic/very likely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Cliff Turner, Director of Children's Services</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS3. 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, exacerbated by recruitment difficulties in the School Improvement Team.</p> <p>Treatment Measures</p> <p>a. 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. Successful Headteachers being seconded as part-time advisers and/or School Improvement Partners.</p> <p>Current Status of Treatment Measures</p> <p>a. Targeted support to schools whose attainments are “Hard to Shift”.</p> <p>b. Increasing number of Headteachers seconded as part-time advisers –four in total</p> <p>New Treatment measures and Modifications following last review</p> <p>a. DCSF “Gaining Ground” funding granted, which can now be accessed by four secondary schools</p> <p>Performance Measures</p> <p>Refer to Ofsted’s most recent inspections as necessary. Management information on school inspection outcomes is used by the School Advisory Service to drive improvement.</p>	<p>Uncontrolled Score: HIGH Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/very likely</p> <p>Current Score: MEDIUM Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Likely Service Delivery: moderate/unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: moderate/unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS4. Extended Schools’ Programme</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 targets.</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>Treatment Measures</p> <ol style="list-style-type: none"> a. Meet with TDA^{vi} on termly basis to discuss progress on agenda. b. Attend TDA updates and training events. c. Comply with data requests on schools by TDA via database. d. Ensure adequate staffing in RBWM to undertake “c”. e. Marketing and communications in place on regular basis. f. Consultation with stakeholders by schools at least annually. g. Consultation with service providers. h. Encourage schools to achieve Quality Mark in study support. <p>Current Status of Treatment Measures All on target</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures</p> <ul style="list-style-type: none"> • 50% of schools meeting full core offer by 2008. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Major/Very unlikely Reputation: Major/Likely Service Delivery: Major/Likely</p> <p>Current Score: LOW Financial: Minor/Very Unlikely Legislation: Minor/Very Unlikely Reputation: Minor/Very Unlikely Service Delivery: Minor/Very Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Very Unlikely Legislation: Minor/Very Unlikely Reputation: Minor/Very Unlikely Service Delivery: Minor/Very Unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Mrs Eileen Quick</p> <p>Frequency of review: quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

	<p>RBWM currently at 57%</p> <ul style="list-style-type: none">• 100% of schools meeting full core offer by 2010.• 4 Schools achieved Quality Mark this year. 6 schools planned for next year.• Monitoring by Chief Executive’s Major Projects Board.		
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Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS5. Childrens’ Centres</p> <p>Failure to meet Government deadlines</p>	<p>Failure to complete four designated Childrens' Centres (which includes a rural model) by 31st 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>Treatment Measures</p> <ul style="list-style-type: none"> • Service embedded through Children’s Trust board who ensure duties are met by agenda • Head of Services for Families and Young People takes lead on overall management • Project progress monitored by Chief Executive’s Major Projects Group. • Specific support from other Council teams as well as dedicated time within Service Area, e.g. ICT • Dedicated programme manager • Dedicated time from other teams in Children’s Services, e.g. School Accommodation. <p>Current Status of Treatment Measures All on target</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures</p> <ul style="list-style-type: none"> • Progress quarterly monitored by Together For Children^{vii} and Norfolk Property Services. Currently rated as “Low risk” by those Agencies and hence minimal input from those agencies. • Measure phased opening by March 2010 	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p>Current Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Mrs Eileen Quick</p> <p>Frequency of review: quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS6. Youth Service Provision</p> <p>Failure to use Council Services</p>	<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>Treatment Measures</p> <p>a. Management review commissioned to assess fitness for purpose.</p> <p>b. Development of implementation plan in consultation with Youth Service.</p> <p>Current Status of Treatment Measures</p> <p>a. Management review completed and reported to Cabinet November 2008.</p> <p>b. Now implementing recommendations from the management review</p> <p>New Treatment measures and Modifications following last review</p> <p>a. Developing a single strategy for the Youth Service in consultation with staff by the end of April 09.</p> <p>b. Review being planned re: role and function of management committees.</p> <p>Performance Measures: PSA 14 applies:</p> <ul style="list-style-type: none"> • Indicator 1: Reduce the proportion of 16-18 year olds who are not in education, training or employment (NEET) • Indicator 2: More participation in positive activities • Indicator 3: Reduce the proportion of young people frequently using illicit drugs, alcohol or volatile substances • Indicator 4: Reduce the under-18 conception rate • Indicator 5: Reduce the number of first-time entrants to the criminal justice system aged 10-17. 	<p>Uncontrolled Score: HIGH</p> <p>Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p>Current Score: HIGH</p> <p>Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p>Controlled Score: LOW</p> <p>Financial: Moderate/Unlikely Legislation: Minor/very unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/likely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS7. All schools</p> <p>Skills Development Failure</p>	<p>Failure of Headteachers, as the RPBS (Responsible Person for Building Health and Safety), to demonstrate competence in application of CDM^{viii} regulations and Borough policy, procedures and arrangements leads to injuries, substantial compensation claims from breach of statutory duty and negative publicity.</p> <p>Headteachers (RPBS) can delegate duties to others but remain accountable in law. They cannot perform function this unless they have sufficient competence</p> <p>Treatment Measures:</p> <ol style="list-style-type: none"> 1. Carried out a business & health and safety risk assessment via the LEA Liabilities Group. 2. CDM Requirements & Guidance for Schools and the School Pack provides the Implementation Process and Tools to operate it. 3. Provide training to Headteachers (as RPBS's) and nominated Deputy RPBS's for CDM responsible for operating the policy and tools. 4. Outstanding work on control mechanisms to be agreed and overseen by LEA Liabilities Group. <p>Current Status of Treatment Measures RPBS’s attended several one-day seminars on CDM, Insurance and Contract law during November and December 2008. Out of 63 schools, 29 RPBS and 33 Deputies have attended CDM training</p> <p>New Treatment measures and Modifications following last review A further CDM training session is arranged for 11th June, with plans for more in October/November.</p> <p>Performance Measures Director has written to Headteachers to explicitly remind them of their responsibilities.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic/Likely Reputation: Catastrophic/Likely Service Delivery: Moderate/Likely</p> <p>Current Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic/Likely Reputation: Catastrophic/Likely Service Delivery: Moderate/Likely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: moderate/unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

Service Area Risk Children’s Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>CS8. Holyport Manor School</p>	<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. Full risk assessment and controls on Corporate Risk Register</p> <p>Key risk issue:</p> <ul style="list-style-type: none"> • 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. <p>Key Treatment Measures</p> <ul style="list-style-type: none"> • Service Delivery: pupil education and support is not totally dependent on the new facility opening on time. Accommodation could be provided from existing schools if delays occur. • Financial contingency funds built into Building Services estimates. Building industry has surplus capacity so cost increases unlikely. • Project monitoring at Chief Executive’s Major Project Board. <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures School building complete by May 2010 and open by September 2010.</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Minor/Very unlikely Reputation: Moderate/Very Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Minor/Unlikely Legislation: Minor/Very unlikely Reputation: Moderate/Likely Service Delivery: Moderate/unlikely</p> <p>Controlled Score: MEDIUM Financial: Minor/Unlikely Legislation: Minor/Very unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Unlikely</p>	<p>Chris Thomas, Head of Housing & Residential Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 8th April 2009</p> <p>Date of last review by Lead Member: 16th April 2009</p>

Appendix C - Current Operational Risks rated as “High” by Children’s Services Directorate as at 16th April 2009

ⁱ 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.

ⁱⁱ 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

ⁱⁱⁱ The Construction (Design & Management) Regulations 2007. These apply to most common building, civil engineering and engineering construction works.

^{iv} UK government department with responsibility for children's services, families, schools, 14-19 education, and the Respect Taskforce.

^v The Department for Children, Schools and Families distinguishes “Hard to Shift” schools as primary schools that have been below Key Stage 2 floor targets in both English and Mathematics for four or more years. There is no equivalent term for secondary schools operating consistently below floor targets.

^{vi} Training and Development Agency for Schools. The national agency and recognised sector body responsible for the training and development of the school workforce.

^{vii} 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.

^{viii} Construction (Design and Management)

Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹
<p>AC1. Adult Services – Learning Disability</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity 	<p>The Borough runs three residential care Homes, two of which provide permanent care for people with a learning disability. 16 Staff (2009 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>Treatment Measures Establish systems to provide Officer support should staff shortages occur:</p> <ol style="list-style-type: none"> 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. Use of Pertemps (or other Agency). Use of Homecare staff for "minor" shortages. Management can assist if above fails. Increase and improve awareness of flu jabs. The expectation of the Department of Health is that a flu pandemic is certain to occur. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place In place In place In place Ongoing <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures C30 – Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/very likely Legislation: Major/very likely Reputation: Major/very likely Service Delivery: Catastrophic/very likely</p> <p>Current Score: MEDIUM Financial: Moderate/unlikely Legislation: Major/unlikely Reputation: Major/unlikely Service Delivery: Catastrophic/unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/unlikely Legislation: Major/unlikely Reputation: Major/unlikely Service Delivery: Catastrophic/ unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

¹ 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ²
<p>AC2. Adult Services – Adult Care</p> <ul style="list-style-type: none"> Conflict between national/regional agendas & local priorities 	<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>Treatment measures</p> <ol style="list-style-type: none"> Work closely with hospital to provide early warning system. Daily monitoring by use of hospital’s own warning system protocols – green/amber/red/black situations Fill additional support post within 2009/10 budget. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place In place Budgetary approval obtained. In the process of hiring. <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</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>Uncontrolled Score: HIGH Financial: Moderate/very likely Legislation: Moderate/very likely Reputation: Major/very likely Service Delivery: Major/very likely</p> <p>Current Score: MEDIUM Financial: Moderate/unlikely Legislation: Moderate/unlikely Reputation: Major/unlikely Service Delivery: Major/unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/unlikely Legislation: Moderate/unlikely Reputation: Major/unlikely Service Delivery: Major/unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

² 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ³
<p>AC3. Adult Services - Learning Disability and Day Care</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity 	<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>Treatment Measures Provide alternative support framework for staff and/or location:</p> <ol style="list-style-type: none"> Work with the voluntary sector e.g. voluntary day centres, Mencap Look after clients at their own homes if possible through Homecare, Voluntary Day Services or Pertemps. Day to day monitoring of service with reactive protocols in case of difficulty. <p>Current Status of Treatment Measures a.- c All in place</p> <p>New Treatment measures and Modifications following last review Management can assist if “a” or “b” fails.</p> <p>Performance Measures C30 - Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Very Likely Legislation: Moderate/very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/ Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

³ 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁴
<p>AC4. Adult Services – In-house Home Care</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity 	<p>Failure of In-House Home Care service can cause significant harm or mortal danger to a client.</p> <p>Treatment Measures Delayed Discharge Section monitor the number of users and the number of hours of service supplied/demanded to identify fluctuations:</p> <ol style="list-style-type: none"> Daily Health Teleconferences across East Berkshire involving Hospitals, Strategic Health Authority, District Nurses. <p>Fast track recruitment processes:</p> <ol style="list-style-type: none"> Can recruit direct rather than involve Corporate HR. Pertemps could assist. Staff are still required to undergo necessary CRB checks. <p>Provide enhanced support to enable people to remain in their own homes:</p> <ol style="list-style-type: none"> The support is practical and emotional and includes getting people up, toileting, meals, medication and putting people to bed. Ensure the Council has the ability to pass out Care Packages to the independent sector. <p>Current Status of Treatment Measures a. – f. All in place</p> <p>New Treatment measures and Modifications following last review - None</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: LOW Financial: Moderate/very unlikely Legislation: Major/Very Unlikely Reputation: Catastrophic/Very unlikely Service Delivery: Catastrophic/very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/very unlikely Legislation: Major/Very Unlikely Reputation: Catastrophic/very unlikely Service Delivery: Catastrophic/very unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

⁴ 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 Adult and Community Services Directorate as at 16th April 2009

	<p>Performance Measures 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁵
<p>AC5. Adult Services – Domiciliary Care</p> <ul style="list-style-type: none"> Failure of Key supplier 	<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>Treatment Measures Contractual terms determine required notice periods:</p> <ol style="list-style-type: none"> Carers may still leave the organisation despite the contractual implications. <p>Monitoring of service providers:</p> <ol style="list-style-type: none"> Regular Forums held. IT System logs calls to vulnerable people so Officers can monitor developments. Performance linked to Commission for Social Care Inspection Contracts team monitor inspection reports re: quality and standards Retain own internal Homecare Team who can react to pick up short-term supplier shortfall depending on capacity. Working with current providers to create capacity in market. <p>Current Status of Treatment Measures a. – g. All in place/ongoing</p> <p>New Treatment measures and Modifications following last review “Careforce Group” are in the process of taking over</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: HIGH Financial: Moderate/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Catastrophic/Likely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Major/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

⁵ 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 Adult and Community Services Directorate as at 16th April 2009

	<p>various sectors of RBWM. If their performance is satisfactory by the end of Qtr 2 2009/10 then the Current Risk Assessment will be reduced to “Medium” based on all “likelihood” scoring lessening to “Unlikely”.</p> <p>Performance Measures 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁶
<p>AC6. Adult Services – Mental Health</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity 	<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. The Deprivation of Liberty Safeguards and Mental Capacity Act 2005⁷ is due to be implemented in April 2009 which will also impact on best practice in this area.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Supervision, Team Meetings and regular Assessment training to national standards. Monthly supervision should pick up any poor practice. Monitors complaints by Teams and individual workers. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place In place In place <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>C31 - adults with mental health problems helped to live at home per 1000 of population</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Moderate/Likely Reputation: Catastrophic/Likely Service Delivery: Moderate/Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

⁶ 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.

⁷ These safeguards have been introduced to ensure that no one is deprived of their liberty in a hospital or care home setting without good reason, and that people who are deprived of their liberty receive the care they need while retaining specific rights.

Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁸
<p>AC7. Adult Services – Rapid Response and Rehabilitation</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Attempt to stop people being admitted to hospital by timely intervention. Participation in the daily teleconference allows a degree of pre-planning but constrained by having no influence on this flow of people. Careful monitoring of hospitals and primary care centres to understand capacity issues. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> In place In place Ongoing <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</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>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Moderate/Likely Reputation: Catastrophic/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Catastrophic/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Catastrophic/Unlikely Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown Interim Director of Adult & Community Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

⁸ 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁹
<p>AC8. Housing Options Team</p> <ul style="list-style-type: none"> Conflicting priorities/lack of staff capacity and economic downturn 	<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>There is likely to be an increase in the number of homelessness applications caused by the prevailing economic conditions. This 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. Others may become homeless through an inability to pay their rent.</p> <p>Treatment Measures</p> <p>Staff</p> <ol style="list-style-type: none"> Monitoring staffing levels (relatively straightforward as team is stable and small) and prioritising efforts to ensure posts are filled quickly if a vacancy arises. Ensure bidding for the training budget prioritised. Value staff. Stringent use of appraisal process, provision of flexible working patterns. Budget approved to create additional post to support Housing Options Team. Advertisement issued in January 2009. <p>Economic factors</p> <ol style="list-style-type: none"> Continuous monitoring of applications and vigilance to early indications of repossession. Awareness of Government measures to support home ownership. Provision of alternative types of temporary 	<p>Uncontrolled Score: HIGH Financial: Moderate/Very Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Major/Likely Reputation: Major/Likely Service Delivery: Major/Likely</p> <p>Controlled Score: LOW Financial: Moderate/Very unlikely Legislation: Major/ Very unlikely Reputation: Major/ Very unlikely Service Delivery: Major/Very unlikely</p>	<p>Chris Thomas, Head of Housing & Residential Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

⁹ 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 Adult and Community Services Directorate as at 16th April 2009

	<p>accommodation.</p> <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none">a. Existing post will be filled which will mean a full complement of staff.b. and c. Ongoingd. Any additional post to deal with Homeless applications requires budget approval to fill and will take three months to do so. Cannot use Pertemps in this instance. Will therefore look to economic contingency reserve by the end of Qtr 2 2009/10 and look to fill by the end of Qtr 3.e. No increase in formal Homelessness applications.f. Chris Thomas to advise Cllr Dudley of potential resource requirements should the present economic climate worsen and conditions harden. In such a situation, the Current Risk Assessment Score is likely to be revised to High <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures Monitor use of B&B accommodation. Currently zero.</p>		
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Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹⁰
<p>AC9. Emergency Duty Team</p> <ul style="list-style-type: none"> • Failure of Key supplier 	<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 were 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>Treatment Measures Monitor management of Emergency Duty team in prescribed fashion.</p> <ol style="list-style-type: none"> a. Interim Director of Adult & Community Services sits on Client/Officer Group to monitor management of Unit. b. Monthly activity reports by Local Authority area. c. Cold calling by Interim Director of Adult & Community Services. d. Emergency Duty Team has their own risk assessments regarding the integrity of computer system and data. e. Appropriate data on known Service Users is shared to improve knowledge base. <p>Current Status of Treatment Measures a. – e. All in place</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures To follow</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Moderate/Likely Reputation: Moderate/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: LOW Financial: Moderate/Very unlikely Legislation: Moderate/Very unlikely Reputation: Moderate/Very unlikely Service Delivery: Major/Very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Very unlikely Legislation: Moderate/Very unlikely Reputation: Moderate/Very unlikely Service Delivery: Major/Very unlikely</p>	<p>Allan Brown, Interim Director of Adult & Community Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

¹⁰ 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 Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹¹
<p>AC10. Leisure Services (incl. Parks, Play Equipment) and Adult Care services.</p> <ul style="list-style-type: none"> Failure to adhere to Health and Safety practice 	<p>Death or serious injury to a service user as a consequence of using a Council facility.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Staff training and CRB¹² checks. Robust and tested systems in place with external QUEST¹³ accreditation, NOP's¹⁴ as part of PIG's¹⁵. PIG's signed off by Members and determine permissible range of activities. H&S Management systems reviewed in accordance with HSG65¹⁶ and ISRM¹⁷ accreditation. Extensive induction manual and orientation protocols. Liaison with RBWM Insurance and Risk Management team on best practice. Appointment of Unit Risk Manager to ensure systems controlled and reviewed by Unit Risk Assessments. Defibrillators at all 3 Leisure facilities with staff trained in its use. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Ongoing as part of established operating protocols. NOP's and PIG's regularly reviewed as part of modifying QUEST accreditation. 	<p>Uncontrolled Score: HIGH Financial: Major/Unlikely Legislation: Catastrophic/Likely Reputation: Catastrophic/Likely Service Delivery: Moderate/ Likely</p> <p>Current Score: LOW Financial Moderate/Very unlikely Legislation: Moderate/Very unlikely Reputation: Moderate/Very unlikely Service Delivery: Moderate/Very unlikely</p> <p>Controlled Score: LOW 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>Allan Brown, Interim Director of Adult & Community Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

¹¹ 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.

¹² Criminal Records Bureau. Enables organisations to make recruitment decisions by identifying candidates who may be unsuitable for work involving children or vulnerable adults.

¹³ Quest was developed by Sport England to provide a quality accreditation scheme for sports and leisure facilities.

¹⁴ Normal Operating Procedures

¹⁵ Policies Information and Guidance

¹⁶ HSE Framework for Successful Health and Safety Management incl. Policy, Organising, Planning and Implementing

¹⁷ Institute of Sport and Recreation Management

Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

	<p>a. Annual review b. Ongoing c. Risk Awareness training sessions undertaken for Leisure Centres staff 19th May and 21st July 2008 by Insurance & Risk Manager and external insurers. d. In place e. In place</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures</p> <ul style="list-style-type: none"> • Windsor “Highly Commended” (81%) at last accreditation 10-11/05/07. Accreditation runs to 17/05/09. • Magnet “Excellent” (85%) at last accreditation 27-28/09/07. Accreditation runs to 04/10/09 • Council’s liability insurers commend insured at 2009/10 renewal on the, “comprehensive and well thought through” standard of Leisure Centre risk assessments provided to evidence risk control. 		
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Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners¹⁸
<p>AC11. Policy and Planning.</p> <p>Failure to meet Government policy demands.</p>	<p>Failure to make substantial progress towards personalisation of Adult Social Care as per demands of the Transforming Social Care Agenda by 01/04/2011. This government directive has been initiated since the existing social care model was deemed economically unsustainable for current demographic trends. It only applies to community based rather than long term residential services.</p> <p>The Agenda expects Users to have improved choice and control over services. However, the Council retains a statutory obligation to keep people safe.</p> <p>Key Risks:</p> <ul style="list-style-type: none"> • Providers withdraw from market. • Specialist in-house services become unsustainable. • Poor quality or dangerous supply of service from untrained and unregulated Providers. • Clash with ICS¹⁹ phase 1c implementation in October 2009 • Unexpected legislative/policy changes impact upon targets. <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Complete risk assessment contained on Work.Together grouped by (1) Market Management, (2) Workforce Development, (3) Transforming Adult Social Car. (4) Finance and (5) Business Processes and Systems. b. Pilot implementation scheme c. Provision of risk triggers in assessment process d. “Managing The Market” Group set up to provide support and guidance re: contracts, services etc. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p>	<p>John Scaife, Transforming Social Care Project Manager</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last Officer review: New Risk from 30th March 2009</p> <p>Date of last Member review: New Risk from 30th March 2009</p>

¹⁸ 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.

¹⁹ The nature of the risk is limited IT resources, leading to timescale slippage. There is no functional link between ICS and transforming social care.

Appendix D - Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 16th April 2009

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners²⁰
<p>AC12. All Services</p> <p>Failure to meet Government policy demands.</p>	<p>Demographic change affects demand for Council Services.</p> <p>Treatment Measures Use of Medium Term Financial Plan to reserve suitable sums to provide for potential changes.</p> <p>Current Status of Treatment Measures A substantial sum (£3M over 3-5 years) to reflect changes in demand has been identified in the most recent MTFP.</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures To follow</p>	<p>Uncontrolled Score: MEDIUM Financial: Major/Likely Legislation: Major/Likely Reputation: Major/Likely Service Delivery: Minor/Very unlikely</p> <p>Current Score: LOW Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p>	<p>Allan Brown, Interim Director of Adult & Community Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last Officer review: New Risk 19th March 2009</p> <p>Date of last Member review: 19th March 2009</p>

²⁰ 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 - Current Operational Risks rated as “High” by Resources Directorate as at 16th April 2009

Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners¹
<p>RES1. Health and Safety</p> <ul style="list-style-type: none"> • Skills development failure 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Sort membership of H&S Committee in conjunction with Directors, Union. Train Directors, Unit Managers/Senior Managers, Headteachers and School Governors and Members in necessary H&S Skills Set up small 2nd tier Officer team with standard H&S Skills as Safety Champions and embed Safety Champions supported by Safety Co-ordinators in each Directorate to assist ownership & delivery. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Committee currently meets quarterly with designated Officer involvement. Ongoing Yet to commence <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>Corporate Health and Safety Plan contains Outcome Targets, Risk Assessment of failures, Due Dates and Officer responsibilities.</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Moderate/Likely Reputation: Catastrophic/Likely Service Delivery: Moderate/Likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW 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 Officer review: 6th March 2009</p> <p>Date of last Member review: 16th April 2009</p>

¹ 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 - Current Operational Risks rated as “High” by Resources Directorate as at 16th April 2009

Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners²
<p>RES2. Financial Planning</p> <ul style="list-style-type: none"> • Loss of revenue/income generation 	<p>Interest rate fluctuations cause a fall in expected investment income with effects on service budgets.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> a. Regular monitoring of interest rates b. Consider ability to move investments c. Cautious assessment of interest receipts in budget proposals. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. In place b. Ongoing c. Ongoing <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • None <p>Performance Measures</p> <ul style="list-style-type: none"> • None beyond monitoring 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Minor/Very Likely Reputation: Moderate/Very Likely Service Delivery: Moderate/Very Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Likely Reputation: Moderate/Likely Service Delivery: Moderate/Likely</p> <p>Controlled Score: MEDIUM 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 Officer review: 15TH April 2009</p> <p>Date of last Member review:</p>

² 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 - Current Operational Risks rated as “High” by Resources Directorate as at 16th April 2009

Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners³
<p>RES3. Financial Planning</p> <ul style="list-style-type: none"> Failure to obtain or maintain a commitment to sustainability 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Green Waste Initiative Revised Disposal Contracts - Investigate new EfW options in new disposal contracts Educate Residents - Ensure residents understand challenge and maximise recycling opportunities <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Proposed, Terry Gould as Lead Officer In progress, Terry Gould as Lead Officer In progress, Terry Gould as Lead Officer <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>None</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p>Current Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p>Controlled Score: MEDIUM Financial: Catastrophic/Unlikely Legislation: Catastrophic/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Cllr David Hilton</p> <p>Cllr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 15th April 2009</p> <p>Date of last Member review:</p>

³ 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 - Current Operational Risks rated as “High” by Resources Directorate as at 16th April 2009

Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners⁴
<p>RES4. Financial Management</p> <ul style="list-style-type: none"> Insufficient financial resources 	<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>Treatment Measures</p> <ol style="list-style-type: none"> Ensure service delivery is contained with available grant funding 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. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> and b. In progress, Andrew Brooker as Lead Officer <p>New Treatment measures and Modifications following last review</p> <p>None</p> <p>Performance Measures</p> <p>None</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Moderate/Very Likely Reputation: Moderate/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Moderate/Likely Reputation: Moderate/ Likely Service Delivery: Major/ Likely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Likely Legislation: Moderate/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 Officer review: 15th April 2009</p> <p>Date of last Member review:</p>

⁴ 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 - Current Operational Risks rated as “High” by Resources Directorate as at 16th April 2009

Service Area Risk Resources	Detail and Treatment Measures	Risk Assessment	Risk Owners⁵
<p>RES5. All Services</p> <ul style="list-style-type: none"> Debt recovery failure 	<p>Write off over more than 5% of debt due to non-payment or collection failure causes reputation damage, fall in income and service reduction.</p> <p>Debt can arise in three main areas:</p> <ol style="list-style-type: none"> Individuals Organisations Government bodies <p>The Council carries £5M of debt from “1”. In practice, 2 and 3 are less of a problem.</p> <p>Treatment Measures - awaited</p> <p>Current Status of Treatment Measures - awaited</p> <p>Performance Measures- awaited</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Moderate/Very likely Reputation: Major/Very likely Service Delivery: Moderate/Very likely</p> <p>Current Score: awaited Financial: Legislation: Reputation: Service Delivery:</p> <p>Controlled Score: awaited Financial: Legislation: Reputation: Service Delivery:</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr David Hilton</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: New risk from 1st April 2009</p> <p>Date of last Member review: New risk from 1st April 2009</p>

⁵ 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.