

REPORT TO AUDIT AND PERFORMANCE REVIEW PANEL

Title: **ANNUAL REVIEW OF RISK MANAGEMENT STRATEGY AND COUNCIL'S KEY RISKS UPDATE REPORT**

Date: 17th September 2009

Member Reporting: **Councillor D McBride**

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Wards Affected: **All Wards**

1. SUMMARY

1.1 This report makes Members aware of the developments in Corporate Risk Management during the period 1st September 2008 to 31st August 2009 in compliance with the requirements of good Corporate Governance. This report includes:

- An overview of the risk management work and achievements in the reporting period (1st September 2008 to 31st August 2009), including progress made on the development of the Corporate Risk Register in respect of the Council's key strategic and operational risks¹.
- The Council's 2009/10 Risk Management Strategy.

2. RECOMMENDATION:

2.1 **That the findings of this report on the annual review of the Council's Risk Management Strategy be noted.**

What will be different for residents as a result of this decision?
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As a result of specific actions to identify and manage the Council's significant business risks, residents will benefit from the Council's improved operational stability and consistency, resulting in improved Customer satisfaction.

3. SUPPORTING INFORMATION

Background

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

¹ For timing reasons, some of the Key Risk Review dates are from early September 2009.

Risk Management Developments since report to Cabinet (25th September 2008)

3.2 Table 1 details the key successes in developing the risk management framework since the most recent report to Cabinet on the 25th September 2008.

Table 1: Risk Management Developments

Success	
1	Quarterly risk management reporting to Services Management Team and the Audit and Performance Review Panel with annual reporting to Chief Executive's Management Team and Cabinet
2	Targeted Risk Management Training held for: <ul style="list-style-type: none"> • School Heads and Deputy Heads for Construction (Design and Management) Regulations during November/December 2008 and again June 2009. • School Bursars 12th and 13th May 2009
3	Continued expansion for the use of JCAD Risk (the web-enabled version of the Corporate Risk Register) so that all Risk Owners have direct access to the system used to manage and record Council risks.
4	<ul style="list-style-type: none"> • Risk management training continues to be included in the staff induction process. • Development of Risk Management resources for officers within Hyperwave.
5	Corporate Risk Register data and risk based assessments directly inform the 2009/10 Internal Audit Strategic Plan.
6	Use of Balanced Scorecard indicators to enhance Performance Measures element on the Key Operational and Key Strategic Risk reports.
7	Maintenance of strong links with other councils. The Insurance and Risk Manager attends and is Chair of the Alarm ² South East Group, which meets on a quarterly basis. The main aim of this group is to share and disseminate good practice, and it has proved to be a very useful forum.
8	<p>In April 2009 the Council's Fraud Risk Assessment Matrix was a Finalist in the "2009 European Risk Management Awards" for "Best Risk Management approach in the Public Sector". The Matrix enables the Council to demonstrate how the risk of fraud and corruption is specifically considered as part of its overall risk management process with the results forming an integral part of each Service Area's Corporate Risk Register profile.</p> <p>In July 2009 the Council's approach to managing risk was recognised at the "Alarm Risk Management Awards 2009" being awarded "Highly Commended" for its Construction (Design and Management) Regulations Assessment Matrix. This is a tool for Borough schools to use whenever they organise any form of construction work. It enables the school to expedite those arrangements and minimise the risk of being involved in construction work outside the school's expertise and ability to safely manage it.</p>

² The national body responsible for promoting best practice in the management of risk within the public sector.

Progress on the Development of the Corporate Risk Register

- 3.3 The Corporate Risk Register records the risks that relate to the achievement of the Council's objectives. This tool is accessible to all Risk Owners who have various updating and viewing privileges, depending on their position in the Council hierarchy with regard to the management of the risk/s in question. All risks are also mapped onto either the Operational or Strategic Corporate Plan. The purpose of the Risk Register is twofold:
- i. To highlight those risks that Directors identify as 'over-arching' which require a corporate response. Some 'directorate' risks are also included in a Key Strategic Risk report in Appendix A, where it is felt that failure could seriously compromise the whole Council. This report forms part of the quarterly reporting process to the Audit and Performance Review Panel.
 - ii. To highlight those risks specific to Operational activities of Service Areas within Directorates where failure carries high risk impacts. Access to these risks can be found on Hyperwave, the Members' Room, Group Rooms, from Democratic Services and the Council's website. These also form part of the quarterly reporting process to the Audit and Performance Review Panel. Further reference to the nature of the ongoing work of the Panel is made in 3.5 – 3.8.
- 3.4 Strategic risks are those risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Council and will often impact across the entire or significant portions of the organisation. Strategic risks are by their very nature best identified by those in the most senior positions, whose role entails policy and strategic decision-making.
- 3.5 The first quarterly risk management report was made to the Audit and Performance Review Panel on 26th September 2007. Quarterly reporting to Members with the responsibility for risk management issues complies with both Audit Commission guidance on best practice and the principles of good Corporate Governance and provides assurance that risk is being effectively managed. The reports detail the controls used to mitigate the risk and the progress towards successfully implementing these measures.
- 3.6 A named Council Officer and a Lead Member own all key risks jointly to ensure sufficient priority and attention is given towards controls. The Council's Key Risks, which are presented on a quarterly basis to SMT, DMT's and the Audit and Performance Review Panel, are available in the Members' Room, Group Rooms, from Democratic Services and the Council's website and as such have not been included as part of this report, apart from the "Key Strategic Risks" in Appendix A and "Amendments to the Strategic and Operational Risks since the last report to Audit and Performance Review Panel 28th April 2009" in Appendix B. The reports comprise:
- Current Key Operational Risks for Environmental Services
 - Current Key Operational Risks for Children's Services
 - Current Key Operational Risks for Adult and Community Services
 - Current Key Operational Risks for Resources
 - Explanation of Information Captured by the Key Risk Reports

- 3.7 Two risks have been completely removed from the Schedules presented to the Audit and Performance Review Panel at their most recent quarterly Key Risks Update report 28th April 2009:
- 3.7.1 Reference KSR4. The detailed reasons for removal were detailed in the report of 28th April. Essentially, the Officer Risk Owner significantly amended KSR4 in order to provide less reliance on savings from Berkshire Procurement and Shared Services Unit and Improvement & Efficiency South East. This was to ensure that sole responsibility for the achievement of procurement savings sat with Council Officers and Members and not with third party organisations where there is limited sanction in the event of failure to deliver.
 - 3.7.2 Reference KSR8. Removed as it was found to be phrased very broadly and furthermore without any named Risk Owners or Performance Measures to make it effective. This risk was captured as "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".
 - 3.7.3 One new risk has been added to the Key Strategic Risk schedule, reference KSR13, concerning the effect of a breach of the Race Relations Act 2000.
 - 3.7.4 One new risk has been added to the Key Operational Risk schedule for Resources, reference RES6, concerning the financial impact of the current increase in child safeguarding referrals. The risk of failing to follow correct safeguarding procedures leading to serious harm to a child has previously been captured as a Key Children's Services risk, reference CS1.

2009/10 Risk Management Strategy

- 3.8 The Council periodically reviews its Risk Management Strategy to ensure that it continues to be fit for purpose. The Risk Management Strategy for 2009/10 (Appendix B) reflects both current and future developments in the Risk Management Framework. The 2008/09 document was presented to Directors' Group 27th August 2008, Audit and Performance Review Panel 10th September 2008 and approved at Cabinet 25th September 2008. There are no significant changes from that to the 2009/10 version.
- 3.9 Risk Management continues to be developed within the Authority. A programme of identification and assessment of all RBWM strategic and service area risks was started in 2003 and the Corporate Risk Register records the evaluation of all risks identified.
- 3.10 Opportunity Management is to be specifically developed in the forthcoming year to complement the Risk Management Strategy and enable improved balancing of threat and opportunity. Opportunity management is a structured process to identify, prioritise and manage the opportunities facing an organisation so that the benefits are exploited to the advantage of the organisation and its stakeholders. Opportunity management considers the positive side of risk management where the management of a potential threat can, in fact, lead the organisation into taking the opportunity of doing things in a different way and achieving positive outcomes.

4. OPTIONS AVAILABLE AND RISK ASSESSMENT

4.1 Options

	Option	Comments	Financial Implications
1.	Note and approve the findings of this report on the annual review of the Council's Risk Management Strategy.	The Council must demonstrate that its Annual Governance Statement complies with Regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of an Annual Governance Statement. This includes, as one of its core principles, a requirement for the Council to demonstrate how it manages risk and ensures that it has a system of controls that are key in mitigating risks that may affect the achievement of the Council's objectives.	Revenue Officer time in dealing with operation of Risk Management Strategy. Capital None
2.	Accept the findings of this report and the 2009/10 Risk Management Strategy, with amendments.	CMT may wish to request that this report and/or the 2009/10 Risk Management Strategy be amended / altered if they feel that there are material issues which have not received sufficient emphasis or if there are specific issues in which the report or Strategy are deficient.	Revenue Officer time in dealing with operation of Risk Management Strategy. Capital None
3.	Not approve 2009/10 Risk Management Strategy.	This may expose the Authority to unnecessary risks by not having an adequate internal control framework leading to poor performance, poor outcomes for service users/citizens and a specific attributable negative impact on the Council's CPA/CAA.	Revenue Inappropriate expenditure on aspects of business with uncontrolled risks attached to them. Capital None

4.2 Risk Assessment

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

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

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

5. CONSULTATIONS CARRIED OUT

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

6. IMPLICATIONS

6.1 The following implications have been addressed where indicated below.

Financial	Legal	Human Rights Act	Planning	Sustainable Development	Diversity & Equality
N/A	N/A ³	N/A	N/A	N/A	N/A

Background Papers:

Annual review of Council Risk Management Strategy - Minutes of Cabinet 22/08/02, 24/07/03, 22/07/04, 28/07/05, 27/07/06, 23/08/07, 25/09/08

³ There may be implications in terms of implementing the risk control measures in the Key Risk Reports.

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

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

Cabinet Role and Responsibilities
<p>Ensure the Council follows best practice in relation to its Risk Management arrangements.</p> <p>Own and take responsibility for the Council's approach to handling risk.</p> <p>Receive an annual report on risk management and monitor the effective development and operation and Corporate Governance in the Council, to also support the assurance in the Annual Governance Statement.</p>

Audit and Performance Review Panel Role and Responsibilities
<p>Consider and approve the Risk Management Strategy annually and communicate it to other elected members.</p> <p>Receive an annual report on risk management and monitor the effective development and operation and Corporate Governance in the Council, to also support the assurance in the Annual Governance Statement.</p> <p>Receive quarterly reports on the management of the key operational and strategic risks facing the Council to allow their scrutiny and challenge.</p> <p>Oversee the governance process to ensure that strategic risks are being reviewed at Chief Executive's Management Team and across each Directorate.</p> <p>Oversee a comprehensive, inclusive and risk management approach to the Annual Governance Statement process.</p> <p>Review an annual report on Corporate Governance (Annual Governance Statement).</p>

CMT Role and Responsibilities
<p>Ensure that the Council manages risk effectively through the development of an all-encompassing Corporate strategy.</p> <p>Oversee the effective management of risk by Council officers.</p> <p>Approve the Corporate Risk Management Strategy.</p>

Insurance and Risk Management Team Role and Responsibilities
Develop the Strategy and oversee the implementation across the Council.
Share experience on risk and risk management.
Identify areas of overlapping risk.
Share good practice on all aspects of risk management.
Develop and recommend the Strategy to Cabinet, the Audit and Performance Review Panel and Chief Executive's Management Team.
Approve the annual risk management plan and overall risk management performance.
Provide a clear and concise system for reporting audit risks to Members via the Audit and Performance Review Panel.

Directorate Management Team's Role and Responsibilities
Ensure that risk is managed effectively in each service area within the agreed corporate strategy.
Feed into the development of the corporate risk management strategy from a service specific perspective (through the Insurance and Risk Manager and their input into the Audit and Performance Review Panel).
Identify any service specific issues relating to risk management which have not been explicitly addressed in the corporate strategy
Ensure that the strategy is implemented effectively across its services through directorate/unit business plans.
Negotiate directorate budget requirements for risk control projects.
Liaise as appropriate with external agencies/partners in identifying and managing risk.
Disseminate the detail of the strategy and allocate responsibilities for implementation to service managers and staff.
Establish the training requirements of managers and staff with regard to strategy implementation.
Identify a senior officer within the directorate (ideally a Directorate Management Team member) to co-ordinate the directorate's overall approach to risk management as Risk Champion.

SMT Role and Responsibilities

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

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

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

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

Internal Audit Role and Responsibilities

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

Undertake audits to assess the effectiveness of the Council's risk and control measures.

Service Area Manager Role and Responsibilities

Manage risk effectively in their particular service areas.

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

Recommend the necessary training for employees on risk management.

Maintain a risk management portfolio for their service area.

Share relevant information with colleagues in other service areas.

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

Employees' Role and Responsibilities

Manage risk effectively in their job.

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

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

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

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

ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD
RISK MANAGEMENT STRATEGY AND POLICY
2009/10



What is Risk Management?

1. Risks are inherent in all services delivered by the Royal Borough of Windsor and Maidenhead. The need to manage risk should be recognised by all managers and staff within the Royal Borough as being fundamentally important to effective service delivery and maximising opportunities for innovation in service development.
2. Risk can be defined as "*something happening which may have an impact on the achievement of an organisation's objectives*". If risk is not properly managed, it can have a significant impact on the Royal Borough. For example, the inefficient use or waste of resources, financial losses, service disruption, adverse publicity, legal action, failure to meet Royal Borough objectives, or the risk that opportunities to deliver services in new ways are missed.
3. Risk Management is defined by Alarm¹ as "*the culture, processes and structure that are directed towards effective management of potential opportunities and threats to the organisation achieving its objectives*".
4. The effective management of risk is therefore, a critical part of the Royal Borough 's approach to delivering sound Corporate Governance and Best Value.
5. The objective of Risk Management is not to completely eliminate all risk - that is not possible – but to recognise risks and deal with them appropriately.
6. Risk Management is not about being risk averse but is about being risk aware. There are strong links between effective risk management and effective management.
7. Consequently, staff will need to understand the nature of the risks in their areas and systematically identify, analyse, assess, treat, monitor and review those risks.

¹ Alarm is the primary voice for Public Sector risk management in the UK.

Why is Risk Management Important?

8. The Corporate Strategy (replacing the current Borough Strategic Plan) is currently being developed, and will define what difference the council aims to make to residents and how these outcomes will be measured and reported. It will link in with and will reinforce the balanced scorecard, the Sustainable Community Strategy, directorate plans and services plans. A vision, mission and key strategic areas will be identified and clear links to other strategies will be identified. Risk management is important in identifying and minimising those factors that might hinder the Council in meeting its Corporate Strategy. Furthermore, failure to effectively manage risks can have resource implications for the Council. The Corporate Strategy is due to be published in August 2009.
9. When management of risk goes well it often remains unnoticed. When it fails, however, the consequences can be significant and high profile – hence the need for effective risk management.
10. The risk assessment process enables us to consider what could stop us achieving our service delivery objectives. Risk management helps us to:-
 - ensure Best Value and best practice are achieved in the management of risks
 - regard compliance with legal and regulatory requirements as a minimum standard
 - identify and respond to changing social, environmental and legislative requirements
 - prevent injury, damage and loss to stakeholders and employees or their property
 - reduce the overall cost of risk to the Council
 - integrate risk management into the Council's culture
 - support staff in their efforts to manage the risks to which they are exposed
11. When we follow the risk management process initially identifying threats to the achievement of our objectives, there is always the potential to identify opportunities e.g. new ways of delivering our services in a more cost effective manner or additional means of generating income. Having identified these opportunities, we can then make a decision whether or not to exploit them to the Council's benefit.
12. The reasons why the management of risk is important to the Council can be broadly broken down into two categories, external and internal influences.

External Influences

13. Risk management is an important element of the wider Corporate Governance agenda. In June 2008, the Council adopted a Corporate

Governance Policy and Local Code of Corporate Governance. This is revised and updated regularly with the last such revision in June 2009.

14. The Audit Commission, under the current Comprehensive Performance Assessment (and from April 2009, its replacement, the Comprehensive Area Assessment), will externally monitor effective Corporate Governance and Risk Management. As part of this assessment, the Council accepts that it will need to provide clear evidence of the following:
 - An assessment of the risks inherent in our plans
 - Risk awareness particularly when entering new arenas.
 - Adoption of a risk management strategy with clear delivery and processes.
 - Risk management that supports innovation.
 - Competency in managing risks in periods of change.
15. The Council is required to publish an Annual Governance Statement that complies with Regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006. This includes, as one of its core principles, a requirement for the Council to demonstrate how it manages risk and ensures that it has a system of controls that are key in mitigating risks that may affect the achievement of the Council's objectives.
16. Additionally, Risk Management falls under the assessment of Internal Control and therefore contributes to our overall 'Use of Resources' score. Key elements of assessment will need to be demonstrated including:
 - Assessing the risks in respect of significant partnerships.
 - All appropriate staff are given training and guidance as to their risk management responsibilities within their own working environment.
 - Members have been appropriately trained as to their risk management role.
 - Risk management is embedded within our business processes, i.e. strategic and financial planning, policy making and review, performance and project management.
 - That the opportunity side of risk management is considered towards the successful delivery of major innovative and challenging projects.
17. CIPFA² in their 2005 publication "*Audit Committees – Practical Guidance for Local Authorities*" emphasised that an Audit Committee, as a part of their core function, should review the effectiveness of the Council's risk management arrangements.

Internal Influences

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

18. The Corporate Risk Register is recognised by Members and Senior Management as a helpful way of drawing together the potential obstacles to delivering service objectives across the Council. It identifies the relative importance of these potential obstacles and assigns responsibilities for attempting to reduce the likelihood and/or impact if they do occur.
19. The Terms of Reference of the Audit and Performance Review Panel make specific reference to their responsibilities for ensuring that the Council's key risks are properly assessed and managed.
20. Risk Management is an important process to help deliver better outcomes for major programmes and projects.
21. Including specific Risk Assessments as part of decision-making papers to Members and CMT ensures that any risks inherent in a given decision are made more noticeable and hence, subject to improved scrutiny.

The Council's Policy on Risk Management

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

Policy Objectives

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

Royal Borough of Windsor and Maidenhead Risk Management Policy Objectives
<ul style="list-style-type: none"> • Maintain the highest possible integrity for services provided by the Royal Borough. • Preserve the Royal Borough's ability to deliver Council objectives/policies and Government legislation in a timely, efficient and effective manner. • Maximise the effectiveness and efficiency of all resources deployed by the Royal Borough to deliver Best Value services through the application of sound risk management principles. • Safeguard assets - people, financial and property. • Create an environment where all staff will assume responsibility for

- Ensure that the Royal Borough can appropriately deal with risk at strategic, project and operational levels by taking appropriate mitigating actions and exploiting opportunities.
- Minimise risk to customers who use Council maintained assets.
- Demonstrate transparent and responsible risk management processes, which align with accepted best practice.
- To operate an agreed anti-fraud and corruption strategy.
- To provide a sound basis for a corporate insurance strategy

Risk Management Requirements

25. Risk management requires:-

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

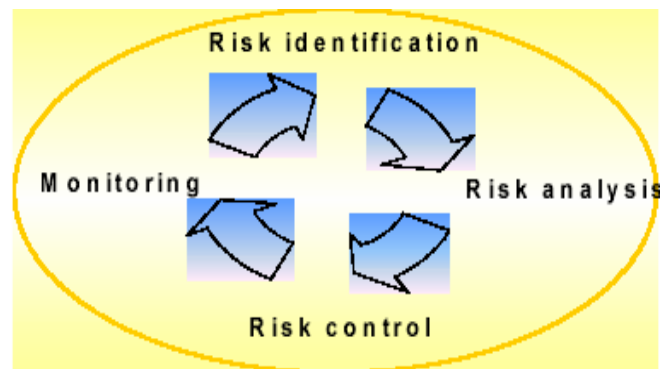
Responsibilities of Management, Staff and Members

26. Management and staff need to be familiar with, and competent in, the application of the Royal Borough's Risk Management Strategy and accountable for the delivery of that Policy within their areas of responsibility.
27. Members of the Council also have an important role in ensuring the effective management of risk within the Council.

28. The **responsibilities** for the management of risk are set out at in the “Risk Responsibilities” document.

Risk Management Process

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



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

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

36. **Stage 3** treats the risks in order of priority. Treatment measures address whether the Likelihood and/or Impact can be reduced or the consequences changed. Contingencies can be devised to respond should the risk occur. Those Red risks will be evaluated by Directorate Management Teams, Services Management Team, Chief Executive’s Management Team, Audit and Performance Review Panel and Cabinet.
37. **Stage 4** is a monitoring and review process. The Corporate Risk Register and quarterly reporting process demands that each Risk clearly indicates consequences, countermeasures and contingencies as well as the Risk Owner³. This process adds scrutiny to ensure:
- The correct risks are being identified
 - The treatment measures identified are legitimate
 - The correct individuals are assigned as Risk Owners
 - That “unknown unknowns” as well as identified risks are, as far as possible, being considered as a core part of management responsibilities.
38. A short guide on risk management process is attached as “One Page Guide to Managing Risk”.

Training and Awareness

39. The Insurance and Risk Management Unit is tasked with arranging the development and provision of risk management awareness and training throughout the Royal Borough. This training will address the needs of all staff, management and Members.
40. Cabinet and the Audit and Performance Review Panel will receive and approve an annual report on the Council’s Risk Management Strategy setting out a series of successes and actions for the forthcoming year designed to meet the Council’s Policy objectives.

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

Appendix A - Current Key Strategic Risks as at 4th September 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>Risk Register Ref: REC0001, 3</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 implemented July 09. Working group for allowance review in place, programme in place for modelling. Market testing of additional benefit options completed. EQIA partially completed.</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: June 2009</p> <p>Date of last Member review: 4th September 2009</p> <p>Member comments: “Some may take the view that there may be a problem with “inappropriate retention of underperforming staff” or “over-remuneration of underperforming staff and under-remuneration of over-performing staff” ? “</p> <p>I’m not sure the measures (e.g the number of women in senior posts) are related to the risk in any way.”</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 4th September 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: HR B/S</p> <ul style="list-style-type: none"> • EF9 - Top 5% of earners that are women.⁴ – on target • VFM10 - % of workforce made up of Agency staff – on target • VFM13 - Appointment rate - % of advertised posts appointed to – on target • Plans to include appraisal outcomes in Trent and report via scorecard <p>Performance Measures: Other</p> <ul style="list-style-type: none"> • Monitoring of staff turnover • Gender split 		
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Appendix A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners⁵
<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>Risk Register Ref: RBWM0014</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: 20th August 2009</p> <p>Date of last Member review: 4th September 2009</p> <p>Member comments: None, happy as presented.</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 A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners⁶
<p>KSR3. Civil Contingency / Emergency Planning failure.</p> <p>Risk Register Ref: EMRES'15. EMRES'9</p>	<p>Failure to continue to develop, review and update the Council's strategic and operational business continuity plans and ensure a regular programme of testing, could lead to severe disruption to Council services in the event of a crisis.</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>New Treatment measures and Modifications following last review</p> <p>i. BCP Board created for monthly review on progress and chaired by Strategic Director of Environmental Services</p> <p>ii. Software to support BCP being purchased.</p> <p>iii. Council functions risk-profiled to identify</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: LOW Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • David Perkins (Head of Operations) • Councillor Rayner <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 28th July 2009</p> <p>Date of last Member review: 10th August 2009, no comments</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.

Appendix A - Current Key Strategic Risks as at 4th September 2009

	<p>“Must do Critical Services”. 52 such functions are identified.</p> <p>iv. All Council Contractors have been written to for status of their own BCP’s.</p> <p>v. Weekly reports to CMT on progress for “iii” and “iv” and their specific contents were appropriate.</p> <p>Performance Measures: Environment B/S No indicators</p> <p>Performance Measures: Other % of Critical Services with BCP Plans/Mitigation measures in place.</p>		
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Appendix A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁷
<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”. <p>Risk Register Ref: OLYMPI’5</p>	<ol style="list-style-type: none"> a. Involvement with specific Strategic Sector Groups with various focuses to ensure direct management of key aspects. b. Undertake Risk Assessment of RBWM role. c. LOCOG⁸ to be adequately engaged to ensure their expectation on the hosting Local Authorities is clear. d. Seek Member and Senior Officer buy-in to specific resources necessary to achieve successful planning/delivery. <p>Current Status of Treatment Measures</p> <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. SEEDA⁹ are the lead stakeholder for planning and securing the best benefit of being Olympic hosts. <ul style="list-style-type: none"> • Groups contain (external) Chairs and (internal) co-ordinators. • Co-ordination Meeting June 2008 involving South East Olympic Co-ordinator to update Sector Group on the national picture e.g. 	<p>Uncontrolled Score: HIGH Financial: catastrophic/likely Legislation¹²: 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: 24th July 2009</p> <p>Date of last Member review: 28th July 2009</p> <p>Member comments: I have not yet received any papers/briefings on our activity here so</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 The London Organising Committee of the Olympic and Paralympic Games is responsible for preparing and staging the 2012 Games.

⁹ 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

¹⁰ “Olympic Delivery Authority” - the single delivery body responsible for creating the infrastructure for the Olympic and Paralympic Games in London in 2012.

¹¹ RBWM, South Bucks District Council, Buckinghamshire County Council, Slough Borough Council

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

Appendix A - Current Key Strategic Risks as at 4th September 2009

	<p>branding, sponsorship tiers.</p> <p>b. Initial Risk Assessment completed but due to be revised in conjunction with review of Olympic Strategy development including role of and relationship with Sectoral Group and respective focus.</p> <ul style="list-style-type: none"> • Involve Visitor Manager and Windsor and Maidenhead Town Managers for suitable spread of expertise. <p>c. Ongoing</p> <p>d. ODA¹⁰ will increase their resources to reflect scale of preparation and make expectations of the Local Authorities. Presently these are not well defined.</p> <ul style="list-style-type: none"> • The current proposal is for the Chief Exec's from the Local Authorities involved¹¹ to meet with ODA to ensure a joint focus and deliver opportunities with partners. <p>1. Lead Member Cllr David Burbage at the outset, and likely to be rolled out through Cabinet Members by the end of summer 2</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 		<p>cannot comment.</p>
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Appendix A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners¹³
<p>KSR6. Failure to manage Partnership working</p> <p>Risk Register Ref: PARTNE'12</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. Progress in meeting LAA's¹⁴ continually monitored by Lead Officers Group and LSP.</p> <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> • 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 and in monitoring the progress of meeting targets. • Partners engaged in Community Strategy refresh over next two months. This includes a collective identification of data necessary to establish priorities and clear actions and outcomes for the partnership over the next two years. The next Strategy will be available in November 2009. • Actions arising out of an internal audit of the Governance of Partnerships currently being implemented. <p>Performance Measures: None</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: 20 August 2009</p> <p>Date of last Member review: 25th August 2009</p> <p>Member comments: awaited</p>

¹³ 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.

¹⁴ LAA – Local Area Agreements

Appendix A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹⁵
<p>KSR7 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 <p>Risk Register Ref: POLPER0002</p>	<ul 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. Clarify SPRUCE methodology. d. Top 30 projects captured and managed on Work Together with monthly review by Senior Management Team. <p>Current Status of Treatment Measures a. – d In place</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • 14 actions arising out of Overview and Scrutiny being put into place with Project Managers • Project management training being sourced • Further guidelines being produced for Project Managers regarding the reporting of projects re: risks, issues, state and budget. • QA being sourced <p>Performance Measures.</p> <ul style="list-style-type: none"> • All projects being managed to timetable and where not corrective action being taken to address the overrun. 	<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: Major/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: 19th August 2009</p> <p>Date of last Member review: 25th August 2009</p> <p>Member comments: awaited</p>

¹⁵ 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 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹⁶
<p>KSR9. Loss of data or inadequate data security leads to delays and errors in business processes.</p> <p>Risk Register Ref: BID0008</p>	<p>Treatment Measures</p> <ol style="list-style-type: none"> BID perform backup and contract with SUN (who provide Ultrasparc server to run CRIS etc) to retrieve all systems data. All key critical documents retained as paper records. Secure data backup facility being developed at Tinkers Lane premises. Move to encrypted memory sticks. CD/DVD burning restricted to Officers with Manager's authorisation. Migration of all RBWM applications to run in a virtual environment. Bulk data shredding for confidential documents <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Undertaken daily Ongoing In progress In place from 06/02/09. In place Ongoing In place <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> New policy to reduce risks from receipt of external data 	<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: 6th May 2009</p> <p>Member comments: awaited</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.

Appendix A - Current Key Strategic Risks as at 4th September 2009

	<ul style="list-style-type: none">• Data Security Risk Assessment matrix• Deployment of protective marking and secure data handling project• Security of External Data policy <p>Performance Measures: ICT B/S 3.8 - Security Management Risk Tracker – on target</p>		
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Appendix A - Current Key Strategic Risks as at 4th September 2009

<p>KSR10. Fall in economic vitality</p> <p>Risk Register Ref: HOF'6</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 - general</p> <ol style="list-style-type: none"> Use of distinct Quality Systems to encourage customers to return. Building and property maintenance kept to high quality standards. Car Parks maintained to an attractive standard. Consider market rates for rents, fees and charges and other Economic intelligence Enforcement of collection and monitoring of compliance with e.g. Fixed Penalty Notices, Rents. Forward planning of budget Respond to economic and emerging policy signals. <p>Current Status of Treatment Measures - general</p> <ol style="list-style-type: none"> Embedded in day-to-day business protocols. Ongoing Capital and Revenue programmes. Daily and weekly cleaning programmes. Reviewed against market competitors annually. Debt recovery procedures carried out to national standards. Established as an annual Council process. Monthly monitoring of targeted income against actual income. Monitor number of facility users. <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> Ensure sufficient revenue reserves to enable suitable action. This is part of the budget setting process and part of the Head of Finance's annual assessment of the need to retain reserves and ensure the Economic Contingency Reserve is sufficient. <p>Treatment Measures – Leisure Services (reviewed by Head of Leisure Services 28/08/09)</p> <ul style="list-style-type: none"> Managers are monitoring income on a weekly basis. Where demand for activities is falling action is taken to reduce costs and losses. 	<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) David Perkins, Head of Head of Streetcare & Operations (for Car Parks)</p> <p>Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: Various – see Treatment Measures</p> <p>Date of last Member review (by Cllr Hilton): 6th May 2009</p> <p>Date of last Member review (by Cllr Kellaway): 3rd September 2009</p>
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Appendix A - Current Key Strategic Risks as at 4th September 2009

	<ul style="list-style-type: none"> • Advertising targeted at products showing signs of growth i.e. gym membership, birthday party bookings, children’s coaching courses. • Staff shifts have been amended where possible and savings ideas have been submitted to BSG for year 2010-11. • Tight controls remain on expenditure and managers remain confident that bottom line will be met this year <p>Treatment Measures – Libraries (reviewed by Head of Library Information Heritage and Arts 28/08/09)</p> <ul style="list-style-type: none"> • At the moment libraries income seems to be doing OK. We are more or less on target and we may be benefiting from the recession in other ways. • Visitor numbers are up and anecdotal reporting indicates increased queries for traditional ‘job seeking’ information or use of ICT. Authority pending for use of You Tube posting on “using library services to get a job”. <p>Treatment Measures – Car Parks (reviewed by Head of Streetcare and Operations 02/09/09)</p> <ul style="list-style-type: none"> • No changes to Car Parks as represented in general treatment measures above. <p>Treatment Measures – S106 monies (reviewed by Transport Policy & Implementation Group Manager 26/08/09)</p> <ul style="list-style-type: none"> • Migrate existing database to Agresso so there’s one system being used to manage S106 Agreements income and expenditure. • Regular Project Board meetings held with all officers throughout the council who have an interest in updating the SPD¹⁷ for S106. Annual reviews of SPD to Cabinet take place normally in September. • Work with accountants on improving the Financial Prioritisation 		
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¹⁷ Supplementary Planning Document

Appendix A - Current Key Strategic Risks as at 4th September 2009

	<p>Model to include check on appropriateness for S106</p> <ul style="list-style-type: none"> • Ensure responses to Government consultations on CIL¹⁸ are responded to and go through the Cabinet process to be endorsed <p>Member comments (Cllr Hilton 06/05/09)</p> <ul style="list-style-type: none"> • Is the risk around not knowing the impact of the recessions and its depth or loss of revenue and higher costs? • I think we will have limited control over what happens. If we did have control, we would be better than businesses that are currently going into liquidation. • We have some opportunities in Leisure centres to capture people who use higher cost private clubs. • Looking at car parking figures year on year £5.14M in 2006/7 £5.42M in 2007/8 and £4.7M in 2008/9 we are not doing too well to combat income loss. • When you include inflation in the figures we are doing even worse. Income is real it can be measured and it is income that should be monitored surely. <p>Member comments (Cllr Kellaway 03/09/09) None, beyond what is already captured.</p> <p>Performance Measures: Operations B/S 16 - Total Numbers of car park visits to RBWM charged for Car parks – on target</p> <p>Performance Measures: Other In development: a set of Performance Indicators to effectively measure the Impact and Likelihood of change</p>		
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¹⁸ Community Infrastructure Levy

Appendix A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ¹⁹
<p>KSR11. Inadequate assessment of customers' needs</p> <p>Risk Register Ref: CSC0011</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. No indicators until Strategy is agreed and in progress.</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: HIGH Financial: Moderate/Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very 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"> • Jonathan James (Head of Customer Management) • Cllr Richard Kellaway <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 (by Cllr Hilton): 6th May 2009</p> <p>Member comments: If the uncontrolled risk is High it will remain High until the strategy is in place. <i>(current score amended to reflect this)</i></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 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ²⁰
<p>KSR12. Project Management Failure</p> <p>Risk Register Ref: HPLAND0006</p>	<p>Failure to deliver Maidenhead Rejuvenation Programme on time and/or on budget.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Adoption of the “Vision for Maidenhead Town Centre” as the strategy for the town centre. Broadway Triangle Planning Brief Agree timescale for delivery of the Masterplan for the town centre 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> <ol style="list-style-type: none"> Consultation 30/09 – 14/11/08. Cabinet approval obtained January 2009. Adopted in December 2008 and informing negotiations on that site. Now agreed by PRoM²¹, 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. 	<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: 24th August 2009</p> <p>Date of last Member review: 24th August 2009</p> <p>Member comments, “ This risk is the same for any programme that isn’t in the current years’ capital programme – in fact, it is far less of a risk than some e.g BSF where the spending decisions are way out of our control.</p> <p>The Council is in fact only assured of future years’ capital expenditure between</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.

²¹ 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 4th September 2009

	<p>d. Timetable for preparation of AAP to co-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 in principle.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • Met with Government regional officers 21st Aug 2009 to go through whole programme. Need for the Town Centre Action Plan in advance of the Core Strategy stressed again and new regional officer advised that he would formally sign off within two weeks. • External consultancy support used to progress redevelopment of Broadway Triangle site with developer’s (ING). Formal programme for progress now being worked up ready to form a Planning Performance Agreement by end of September, outlining the project to ensure delivery of scheme within 5 years. <p>Performance Measures: Balanced Scorecards - Planning: 20 - Maidenhead Rejuvenation & PRoM working - on target Balanced Scorecards- Policy & Performance: 15 - External Funding attracted By Maidenhead Town Centre Partnership – on target 25 - Additional Businesses in Maidenhead Town Centre actively engaged in Maidenhead Town Partnership – on target</p>		<p>February and April in any year (between the Budget and the new financial year).”</p>
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Appendix A - Current Key Strategic Risks as at 4th September 2009

	<p>Performance Measures: Other</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 and Cabinet in August 2009. • Other officers 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 A - Current Key Strategic Risks as at 4th September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ²²
<p>KSR13. Breach of equalities legislation / duties placed upon local authorities</p> <p>Risk Register Ref: DAE0003</p>	<p>Breach leads to Government intervention in the form of Equality and HR Commission.</p> <p>Involvement can result from random inspection or a complaint. Council obliged to provide assistance to Commission. Refusal to respond based on resources or rationale would lead to intervention, consequent wasted resources and potential reputation damage.</p> <p>Treatment Measures Undertake external health check of work in this area and implement the actions arising.</p> <p>Current Status of Treatment Measures The council has commissioned North Harbour Consulting (an established supplier in the Equality and Diversity field) to undertake a health check to assess whether we are doing everything that we should be doing to improve our work in this area.</p> <p>Starting mid-July 2009 North Harbour will be undertaking a desktop research exercise and also a number of interviews with representatives of each directorate to find out what the issues are, how well they think we are doing, what needs to be done in the future, and general views on the Council's Comprehensive Equality Policy, Equality Impact Assessment</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p>Current Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Very unlikely Legislation: Catastrophic/ Very unlikely Reputation: Major/Very Unlikely Service Delivery: Moderate/ Very 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: New risk from 20th August 2009</p> <p>Date of last Member review: None, new risk from 20th August 2009</p> <p>Member comments: None</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 4th September 2009

	<p>Process etc. They will be reporting back their findings in mid September 2009. A clear development plan will be forthcoming from this work and will be progressed from this point</p> <p>Performance Measures. The Equality Standard has five levels, with 5 being outstanding. We are currently at Level 2 and it is our ambition to raise this to Level 3.</p>		
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Appendix B:

Notes of amendments to Key Strategic and Operational Risks Reports since Audit and Performance Review Panel 28th April 2009.

Key Strategic Risks	
Reference	Amendment
KSR3	<ul style="list-style-type: none"> Improved background details of this risk.
KSR6	<ul style="list-style-type: none"> Removed detail: "Ensure Risks of Partnership working are assessed to the standard required by Audit Commission guidance in this area." Amended detail from "Well understood LAA's" to "Progress in meeting LAA's¹ continually monitored by Lead Officers Group and LSP." Revised "Current Status of Treatment Measures" substantially to bring measures up to date and reflect changes above.
KSR7	<ul style="list-style-type: none"> Risk Owner changed from Chief Executive to Head of Policy and Performance. New Treatment Measures added. Removed Performance Management elements following consultation with Andrew Elkington. Better captured by developing Project Management risk controls.
KSR10	<ul style="list-style-type: none"> Expanded treatment measures by Directorate and added new General Treatment measure from Head of Finance.
Environmental Services	
Reference	Amendment
ENV1	<ul style="list-style-type: none"> Treatment measure "g" amended, replacing the implications of Pitt Report with the draft Floods and Water Management Bill.
ENV4	<ul style="list-style-type: none"> current score changed from MEDIUM from LOW due to increased likelihood of legislative breach from Very Unlikely to Likely. Treatment measures substantially revised following review with H&S Mgr and Building Services Manager.
ENV7	<ul style="list-style-type: none"> Significant number of New Treatment Measures added.
Children's Services	
Reference	Amendment
CS2	<ul style="list-style-type: none"> Widened risk detail to include implications of failures within schools.
CS7	<ul style="list-style-type: none"> Added Treatment Measure "approach HSE for guidance"

¹ LAA – Local Area Agreements

Adult and Community Services	
Reference	Amendment
AC4	<ul style="list-style-type: none"> • Current score revised from Low to Medium due to effect of Likelihood change from Very Unlikely to Unlikely
AC9	<ul style="list-style-type: none"> • Added new Performance Measures.
AC11	<ul style="list-style-type: none"> • Incumbent Transforming Social Care Project Manager promoted to post of Joint Commissioning Manager. Need to recruit replacement Lead Officer on this project. • Current Score increased from “Low” to “Medium” in absence of Lead Officer. • Impacts for Financial, Legislation and Reputation all increased to Major from Moderate to reflect this. • Impact for Service Delivery increased from “Minor” to “Major”. • Likelihood for Service Delivery increased from “Very Unlikely” to “Unlikely”.
Resources	
Reference	Amendment
RES2	<ul style="list-style-type: none"> • Added new treatment measures. • Reassessed likelihoods of current and controlled risk assessment and consequently reduced these values from Likely to Unlikely for each indicator. • No effect on overall Current/Controlled score due to continued Major financial exposure in each case.
RES3	<ul style="list-style-type: none"> • Added two new Treatment measures
RES5	<ul style="list-style-type: none"> • Increased Financial Impact of Uncontrolled Risk Assessment to Catastrophic. • Reduced Current Likelihoods to Unlikely. • Assessed Controlled Score. • Added new Treatment Measures.