

**RISK CRITERIA FOR IMPACT**

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

**RISK CRITERIA FOR LIKELIHOOD**

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

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

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

## Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>1</sup>
<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, EQIA<sup>2</sup> 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><b>Current Status of Treatment Measures</b></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 PDP<sup>3</sup>'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><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Very Likely                      Legislation: Moderate/Very Likely                      Reputation: Major/Very Likely                      Service Delivery: Major/Very Likely</p> <p><b>Current Score: LOW</b>                      Financial: Minor/Unlikely                      Legislation: Minor/Unlikely                      Reputation: Minor/Unlikely                      Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Minor/Unlikely                      Legislation: Minor/Unlikely                      Reputation: Minor/Unlikely                      Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> <li>• Carol Naismith (Head of Human Resources)</li> <li>• Councillor Burbage</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: June 2009</p> <p>Date of last Member review: 4<sup>th</sup> September 2009</p>

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

<sup>2</sup> EQIA – Equality Impact Assessment

<sup>3</sup> PDP – Personal Development Plans

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

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	<p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Complete review as in detail above.</li> </ul> <p><b>Performance Measures: HR B/S</b></p> <ul style="list-style-type: none"> <li>• EF9 - Top 5% of earners that are women.<sup>4</sup> – <b>on target</b></li> <li>• VFM10 - % of workforce made up of Agency staff – <b>on target</b></li> <li>• VFM13 - Appointment rate - % of advertised posts appointed to – <b>on target</b></li> <li>• Plans to include appraisal outcomes in Trent and report via scorecard</li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• Monitoring of staff turnover</li> <li>• Gender split</li> </ul>		
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**Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009**

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>5</sup>
<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><b>Current Status of Treatment Measures</b></p> <p>a. The Emergency Plan has been used in a number of minor incidents.</p> <p>b. The Emergency Plan is currently going through a Review process.</p> <p>c. Contact details regularly revised and checked.</p> <p><b>New Treatment measures and Modifications following last review</b></p> <p>i. BCP Board created for monthly review on progress and chaired by Strategic Director of Environmental Services</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Catastrophic/Likely            Legislation: Catastrophic/Likely            Reputation: Catastrophic/Very Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Minor/Likely            Reputation: Major/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>• David Perkins (Head of Operations)</li> <li>• Councillor Rayner</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 28<sup>th</sup> July 2009</p> <p>Date of last Member review: 10<sup>th</sup> August 2009</p>

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

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	<ul style="list-style-type: none"> <li>ii. Software to support BCP being purchased.</li> <li>iii. Council functions risk-profiled to identify “Must do Critical Services”. 52 such functions are identified.</li> <li>iv. All Council Contractors have been written to for status of their own BCP’s.</li> <li>v. Weekly reports to CMT on progress for “iii” and “iv” and their specific contents were appropriate.</li> </ul> <p><b>Performance Measures: Environment B/S</b> No indicators</p> <p><b>Performance Measures: Other</b> % of Critical Services with BCP Plans/Mitigation measures in place.</p>		
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## Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>6</sup>
<p>KSR5. Failure to successfully plan and deliver 2012 Olympic and Paralympic Games in the form of:</p> <ol style="list-style-type: none"> <li>1. Main rowing</li> <li>2. Flat water canoeing</li> <li>3. Adaptive rowing</li> <li>4. A compelling and identifiable “legacy”.</li> </ol> <p>Risk Register Ref: OLYMPI’5</p>	<ol style="list-style-type: none"> <li>a. Involvement with specific Strategic Sector Groups with various focuses to ensure direct management of key aspects.</li> <li>b. Undertake Risk Assessment of RBWM role.</li> <li>c. LOCOG<sup>7</sup> to be adequately engaged to ensure their expectation on the hosting Local Authorities is clear.</li> <li>d. Seek Member and Senior Officer buy-in to specific resources necessary to achieve successful planning/delivery.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Sector Groups aligned to national arrangements established with chairperson and co-ordinator leading on delivery of draft 2012 strategy desired focus and priority outcomes. SEEDA<sup>8</sup> are the lead stakeholder for planning and securing the best benefit of being Olympic hosts.</li> </ol> <ul style="list-style-type: none"> <li>• Groups contain (external) Chairs and (internal) co-ordinators.</li> <li>• Co-ordination Meeting June 2008 involving South East Olympic Co-ordinator to update Sector Group on the national picture e.g.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: catastrophic/likely            Legislation<sup>11</sup>: moderate/unlikely            Reputation: catastrophic/likely            Service Delivery: major/likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/likely            Legislation: Moderate/unlikely            Reputation: Major/likely            Service Delivery: Major/likely</p> <p><b>Controlled Score: LOW</b>            Financial: Major/Very unlikely            Legislation: Minor/Very unlikely            Reputation: Major/Very unlikely            Service Delivery: Major/Very unlikely</p>	<ul style="list-style-type: none"> <li>• David Oram (Strategic Director of Environmental Services)</li> </ul> <p>Cllr involvement: Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 24<sup>th</sup> July 2009</p> <p>Date of last Member review: 28<sup>th</sup> July 2009</p>

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

<sup>7</sup> The London Organising Committee of the Olympic and Paralympic Games is responsible for preparing and staging the 2012 Games.

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

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

<sup>10</sup> RBWM, South Bucks District Council, Buckinghamshire County Council, Slough Borough Council

<sup>11</sup> Legislation in the form of the London Olympic Games and Paralympic Games Act 2006, Olympic Symbol etc. (Protection) Act 1995

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	<p>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"> <li>• Involve Visitor Manager and Windsor and Maidenhead Town Managers for suitable spread of expertise.</li> </ul> <p>c. Ongoing</p> <p>d. ODA<sup>9</sup> 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"> <li>• The current proposal is for the Chief Exec's from the Local Authorities involved<sup>10</sup> to meet with ODA to ensure a joint focus and deliver opportunities with partners.</li> </ul> <p>1. Lead Member Cllr David Burbage at the outset, and likely to be rolled out through Cabinet Members by the end of summer 2009</p> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• None.</li> </ul> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• No Local PI's or National Indicator Sets (NI's) yet specified</li> </ul>		
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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>12</sup>
<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's<sup>13</sup> continually monitored by Lead Officers Group and LSP.</p> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> <li>• Actions arising out of an internal audit of the Governance of Partnerships currently being implemented.</li> </ul> <p><b>Performance Measures:</b> None</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very likely            Legislation: Moderate/Likely            Reputation: Major/Very likely            Service Delivery: Major/Very likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>• Harjit Hunjan, Community &amp; Business Partnerships Manager</li> <li>• Councillor Mrs Bateson</li> </ul> <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>

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

<sup>13</sup> LAA – Local Area Agreements

## Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>14</sup>
<ul style="list-style-type: none"> <li>• KSR7 Projects fail to deliver planned benefits.</li> </ul> <p>Risk Register Ref: POLPER0002</p>	<ul style="list-style-type: none"> <li>a. Ensure named Officer is explicitly tasked for executing each task.</li> <li>b. Project management to ensure deadlines and other time boundaries that make sure things get done.</li> <li>c. Clarify SPRUCE methodology.</li> <li>d. Top 30 projects captured and managed on Work Together with monthly review by Senior Management Team.</li> </ul> <p><b>Current Status of Treatment Measures</b> a. – d In place</p> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• 14 actions arising out of Overview and Scrutiny being put into place with Project Managers</li> <li>• Project management training being sourced</li> <li>• Further guidelines being produced for Project Managers regarding the reporting of projects re: risks, issues, state and budget.</li> <li>• QA being sourced</li> </ul> <p><b>Performance Measures.</b></p> <ul style="list-style-type: none"> <li>• All projects being managed to timetable and where not corrective action being taken to address the overrun.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> <li>• Andrew Elkington, Head of Policy and Performance</li> <li>• Councillor Liam Maxwell</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 19<sup>th</sup> August 2009</p> <p>Date of last Member review: 25<sup>th</sup> August 2009</p>

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

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>15</sup>
<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><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>ICT perform backups to enable retrieval of systems data. Data is replicated daily to secondary data centre.</li> <li>All key critical documents retained as paper records.</li> <li>Secure data backup facility developed at Tinkers Lane premises.</li> <li>Move to encrypted memory sticks.</li> <li>CD/DVD burning restricted to Officers with Manager’s authorisation.</li> <li>Migration of all RBWM applications to run in a virtual environment.</li> <li>Bulk data shredding for confidential documents</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Undertaken daily</li> <li>Ongoing</li> <li>In place from 22/07/09</li> <li>In place from 06/02/09.</li> <li>In place</li> <li>Completed 01/09/09</li> <li>In place</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>New policy to reduce risks from receipt of external data</li> <li>Data Security Risk Assessment matrix</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Minor/Unlikely            Legislation: Minor/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>Keith Clark (Head of ICT)</li> <li>Clr Liam Maxwell</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 14<sup>th</sup> September 2009</p> <p>Date of last Member review: 6<sup>th</sup> May 2009</p>

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

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	<ul style="list-style-type: none"><li>• Deployment of protective marking and secure data handling project</li><li>• Security of External Data policy</li></ul> <p><b>Performance Measures: ICT B/S</b> 3.8 - Security Management Risk Tracker – <b>on target</b></p>		
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<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><b>Treatment Measures - general</b></p> <ol style="list-style-type: none"> <li>Use of distinct Quality Systems to encourage customers to return.</li> <li>Building and property maintenance kept to high quality standards.</li> <li>Car Parks maintained to an attractive standard.</li> <li>Consider market rates for rents, fees and charges and other Economic intelligence</li> <li>Enforcement of collection and monitoring of compliance with e.g. Fixed Penalty Notices, Rents.</li> <li>Forward planning of budget</li> <li>Respond to economic and emerging policy signals.</li> </ol> <p><b>Current Status of Treatment Measures - general</b></p> <ol style="list-style-type: none"> <li>Embedded in day-to-day business protocols.</li> <li>Ongoing Capital and Revenue programmes.</li> <li>Daily and weekly cleaning programmes.</li> <li>Reviewed against market competitors annually.</li> <li>Debt recovery procedures carried out to national standards.</li> <li>Established as an annual Council process.</li> <li>Monthly monitoring of targeted income against actual income. Monitor number of facility users.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul> <p><b>Treatment Measures – Leisure Services (reviewed by Head of Leisure Services 28/08/09)</b></p> <ul style="list-style-type: none"> <li>Managers are monitoring income on a weekly basis. Where demand for activities is falling action is taken to reduce costs and losses.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>          Financial: Catastrophic/Likely          Legislation: Minor/Unlikely          Reputation: Major/Likely          Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>          Financial: Major/Likely          Legislation: Minor/Unlikely          Reputation: Moderate/Unlikely          Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>          Financial: Major/Unlikely          Legislation: Minor/Unlikely          Reputation: Moderate/Unlikely          Service Delivery: Moderate/unlikely</p>	<p>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 &amp; 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): 6<sup>th</sup> May 2009</p> <p>Date of last Member review (by Cllr Kellaway): 3<sup>rd</sup> September 2009</p>
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	<ul style="list-style-type: none"> <li>• Advertising targeted at products showing signs of growth i.e. gym membership, birthday party bookings, children’s coaching courses.</li> <li>• Staff shifts have been amended where possible and savings ideas have been submitted to BSG for year 2010-11.</li> <li>• Tight controls remain on expenditure and managers remain confident that bottom line will be met this year</li> </ul> <p><b>Treatment Measures – Libraries (reviewed by Head of Library Information Heritage and Arts 28/08/09)</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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”.</li> </ul> <p><b>Treatment Measures – Car Parks (reviewed by Head of Streetcare and Operations 02/09/09)</b></p> <ul style="list-style-type: none"> <li>• No changes to Car Parks as represented in general treatment measures above.</li> </ul> <p><b>Treatment Measures – S106 monies (reviewed by Transport Policy &amp; Implementation Group Manager 26/08/09)</b></p> <ul style="list-style-type: none"> <li>• Migrate existing database to Agresso so there’s one system being used to manage S106 Agreements income and expenditure.</li> <li>• Regular Project Board meetings held with all officers throughout the council who have an interest in updating the SPD<sup>16</sup> for S106. Annual reviews of SPD to Cabinet take place normally in September.</li> <li>• Work with accountants on improving the Financial Prioritisation</li> </ul>	
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<sup>16</sup> Supplementary Planning Document

**Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009**

	<p>Model to include check on appropriateness for S106</p> <ul style="list-style-type: none"> <li>• Ensure responses to Government consultations on CIL<sup>17</sup> are responded to and go through the Cabinet process to be endorsed</li> </ul> <p><b>Performance Measures: Operations B/S</b> 16 - Total Numbers of car park visits to RBWM charged for Car parks – <b>on target</b></p> <p><b>Performance Measures: Other</b> In development: a set of Performance Indicators to effectively measure the Impact and Likelihood of change</p>		
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<sup>17</sup> Community Infrastructure Levy

## Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>18</sup>
<p>KSR12. Project Management Failure</p> <p>Risk Register Ref: HPLAND0006</p>	<p>Failure to deliver Maidenhead Regeneration Programme on time and/or on budget.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Adoption of the “Vision for Maidenhead Town Centre” as the strategy for the town centre.</li> <li>b. Broadway Triangle Planning Brief</li> <li>c. Agree timescale for delivery of the Masterplan for the town centre</li> <li>d. Discuss and finalise Local Development Scheme with GOSE in order to provide firm basis for progressing with Town Centre Area Action Plan (AAP)</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Consultation 30/09 – 14/11/08. Cabinet approval obtained January 2009.</li> <li>b. Adopted in December 2008 and informing negotiations on that site.</li> <li>c. Now agreed by PRoM<sup>19</sup>, 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</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Catastrophic/Very Likely            Legislation: Major/Very Likely            Reputation: Major/Very Likely            Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Catastrophic/Unlikely            Legislation: Major/Unlikely            Reputation: Major/Unlikely            Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Major/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> <li>• Tim Slaney (Head of Planning and Development)</li> <li>• Cllr David Burbage</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 24<sup>th</sup> August 2009</p> <p>Date of last Member review: 24<sup>th</sup> August 2009</p>

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

<sup>19</sup> 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 30<sup>th</sup> September 2009**

	<p>project plan.</p> <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><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Met with Government regional officers 21<sup>st</sup> 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.</li> <li>• 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.</li> </ul> <p><b>Performance Measures:</b>  <b>Balanced Scorecards - Planning:</b>                  20 - Maidenhead Rejuvenation &amp; PRoM working - <b>on target</b></p> <p><b>Balanced Scorecards- Policy &amp; Performance:</b>                  15 - External Funding attracted By Maidenhead Town Centre Partnership – <b>on target</b>                  25 - Additional Businesses in Maidenhead Town Centre actively engaged in Maidenhead</p>		
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**Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009**

	<p>Town Partnership – <b>on target</b></p> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>		
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## Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> September 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>20</sup>
<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><b>Treatment Measures</b> Undertake external health check of work in this area and implement the actions arising.</p> <p><b>Current Status of Treatment Measures</b> 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><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p><b>Current Score: HIGH</b> Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Very unlikely Legislation: Catastrophic/ Very unlikely Reputation: Major/Very Unlikely Service Delivery: Moderate/ Very unlikely</p>	<ul style="list-style-type: none"> <li>• Andrew Elkington, Head of Policy and Performance</li> <li>• Councillor Liam Maxwell</li> </ul> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: New risk from 20<sup>th</sup> August 2009</p> <p>Date of last Member review: None, new risk from 20<sup>th</sup> August 2009</p>

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

**Appendix A - Current Key Strategic Risks as at 30<sup>th</sup> 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><b>Performance Measures.</b> 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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**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 Alarm<sup>1</sup> as "*the culture, processes and structure that are directed towards effective management of potential opportunities and threats to the organisation achieving its objectives*".
4. The effective management of risk is therefore, a critical part of the Royal Borough 's approach to delivering sound Corporate Governance and Best Value.
5. The objective of Risk Management is not to completely eliminate all risk - that is not possible – but to recognise risks and deal with them appropriately.
6. Risk Management is not about being risk averse but is about being risk aware. There are strong links between effective risk management and effective management.
7. Consequently, staff will need to understand the nature of the risks in their areas and systematically identify, analyse, assess, treat, monitor and review those risks.

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

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

8. The 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

## Appendix B

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. CIPFA<sup>2</sup> in their 2005 publication "*Audit Committees – Practical Guidance for Local Authorities*" emphasised that an Audit Committee, as a part of their core function, should review the effectiveness of the Council's risk management arrangements.

### Internal Influences

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

## Appendix B

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**

- Maintain the highest possible integrity for services provided by the Royal Borough.
- Preserve the Royal Borough's ability to deliver Council objectives/policies and Government legislation in a timely, efficient and effective manner.
- Maximise the effectiveness and efficiency of all resources deployed by the Royal Borough to deliver Best Value services through the application of sound risk management principles.
- Safeguard assets - people, financial and property.
- Create an environment where all staff will assume responsibility for

managing risk.

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

### **Risk Management Requirements**

25. Risk management requires:-

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

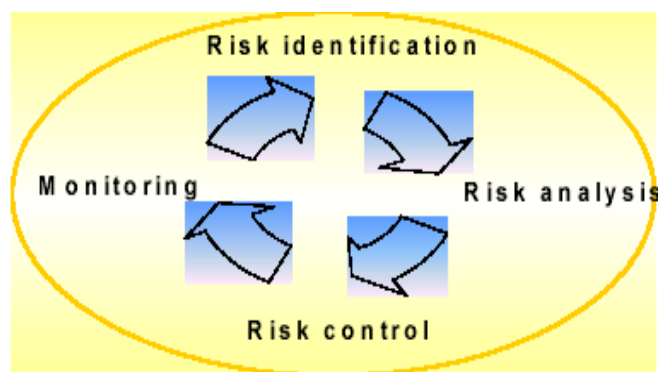
### **Responsibilities of Management, Staff and Members**

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

28. The **responsibilities** for the management of risk are set out at 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 Owner<sup>3</sup>. This process adds scrutiny to ensure:
- The correct risks are being identified
  - The treatment measures identified are legitimate
  - The correct individuals are assigned as Risk Owners
  - That “unknown unknowns” as well as identified risks are, as far as possible, being considered as a core part of management responsibilities.
38. A short guide on risk management process is attached as “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.

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

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

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

<b>Cabinet Role and Responsibilities</b>
<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>

<b>Audit and Performance Review Panel Role and Responsibilities</b>
<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>

<b>CMT Role and Responsibilities</b>
<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>

<b>Insurance and Risk Management Team Role and Responsibilities</b>
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Develop the Strategy and oversee the implementation across the Council.
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Share experience on risk and risk management.
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Identify areas of overlapping risk.
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Share good practice on all aspects of risk management.
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Develop and recommend the Strategy to Cabinet, the Audit and Performance Review Panel and Chief Executive's Management Team.
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Approve the annual risk management plan and overall risk management performance.
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Provide a clear and concise system for reporting audit risks to Members via the Audit and Performance Review Panel.
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<b>Directorate Management Team's Role and Responsibilities</b>
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Ensure that risk is managed effectively in each service area within the agreed corporate strategy.
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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).
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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.
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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.
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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.
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<b>SMT Role and Responsibilities</b>
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<p>Raise the profile and benefits of risk management amongst Directorate/Service colleagues from day to day business as usual.</p>
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<p>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.</p>
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<p>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.</p>
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<p>Ensure the practice of managing risk is made intrinsic to all Council activities.</p>
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<b>Internal Audit Role and Responsibilities</b>
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<p>Include risk assessments within the internal audit programme taking business risk management issues into account.</p>
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<p>Undertake audits to assess the effectiveness of the Council's risk and control measures.</p>
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<b>Service Area Manager Role and Responsibilities</b>
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<p>Manage risk effectively in their particular service areas.</p>
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<p>Implement the detail of the risk management strategy in Directorate/Unit service plans.</p>
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<p>Recommend the necessary training for employees on risk management.</p>
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<p>Maintain a risk management portfolio for their service area.</p>
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<p>Share relevant information with colleagues in other service areas.</p>
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<p>Feedback on their experience of strategy implementation and perceptions of strategy effectiveness to the Directorate Risk Champion.</p>
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<b>Employees' Role and Responsibilities</b>
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<p>Manage risk effectively in their job.</p>
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<p>Communicate with their line manager to assess areas of risk in their job</p>
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<p>Identify new or changing risk in their job and feed these back to their line manager.</p>
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<p>Undertake their job within the Risk Management guidelines set down for them by their manager.</p>
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<p>Ensure that the Risk Management skills and knowledge passed to them are used effectively.</p>
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## Appendix C:

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"> <li>Improved background details of this risk.</li> </ul>
KSR6	<ul style="list-style-type: none"> <li>Removed detail: "Ensure Risks of Partnership working are assessed to the standard required by Audit Commission guidance in this area."</li> <li>Amended detail from "Well understood LAA's" to "Progress in meeting LAA's<sup>1</sup> continually monitored by Lead Officers Group and LSP."</li> <li>Revised "Current Status of Treatment Measures" substantially to bring measures up to date and reflect changes above.</li> </ul>
KSR7	<ul style="list-style-type: none"> <li>Risk Owner changed from Chief Executive to Head of Policy and Performance.</li> <li>New Treatment Measures added.</li> <li>Removed Performance Management elements following consultation with Andrew Elkington. Better captured by developing Project Management risk controls.</li> </ul>
KSR10	<ul style="list-style-type: none"> <li>Expanded treatment measures by Directorate and added new General Treatment measure from Head of Finance.</li> </ul>
Environmental Services	
Reference	Amendment
ENV1	<ul style="list-style-type: none"> <li>Treatment measure "g" amended, replacing the implications of Pitt Report with the draft Floods and Water Management Bill.</li> </ul>
ENV3	<ul style="list-style-type: none"> <li>Widened scope of Risk to include Animal Health amongst legislative requirements. Added further treatment measure "h" in respect of this.</li> </ul>
ENV4	<ul style="list-style-type: none"> <li>current score changed from MEDIUM from LOW due to increased likelihood of legislative breach from Very Unlikely to Likely.</li> <li>Treatment measures substantially revised following review with H&amp;S Mgr and Building Services Manager.</li> </ul>
ENV7	<ul style="list-style-type: none"> <li>Significant number of New Treatment Measures added.</li> </ul>
Children's Services	
Reference	Amendment
CS2	<ul style="list-style-type: none"> <li>Widened risk detail to include implications of failures within schools.</li> </ul>
CS7	<ul style="list-style-type: none"> <li>Added Treatment Measure "approach HSE for guidance"</li> </ul>

<sup>1</sup> LAA – Local Area Agreements

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

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>RES1. Health and Safety</p> <ul style="list-style-type: none"> <li>• Skills development failure</li> </ul> <p>Risk Register Ref: HAS0008</p>	<p>Health and Safety structure of the Council fails to support embedding process leading to avoidable injuries, breaches of legislation, reputation damage, compensation claims</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Sort membership of H&amp;S Committee in conjunction with Directors, Union linked to Terms of Reference &amp; Council Restructuring.</li> <li>Train Directors, Unit Managers/Senior Managers, Headteachers and School Governors and Members in necessary H&amp;S Skills</li> <li>Set up small 2nd tier Officer team with standard H&amp;S Skills as Safety Champions and embed Safety Champions supported by Safety Co-ordinators in each Directorate/key Service Areas to assist &amp; enable ownership &amp; delivery.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Committee currently meets quarterly with designated Officer involvement; report to March 09 H&amp;S Committee flagged issues for action &amp; follow up recommendations with Head of HR &amp; Lead Director for H&amp;S who are due to meet with HSM to resolved. Also being dealt with under (c ) below.</li> <li>Corporate Manslaughter &amp; Lead Role as well as Senior Executive H&amp;S Training Sessions arranged for September 09 - Ongoing</li> <li>Report submitted to SMT June 09 and further Report to clarify Council gaps and requirements has been drafted &amp; is being approved for submission to SMT.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Likely            Legislation: Moderate/Likely            Reputation: Catastrophic/Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Unlikely            Legislation: Moderate/Unlikely            Reputation: Major/Likely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Lynda Verrell-Wilson, Health and Safety Manager,            Carol Naismith, Head of HR</p> <p>Cllr David Burbage</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review:            21<sup>st</sup> July 2009</p> <p>Date of last Member review:            4<sup>th</sup> September 2009</p> <p>Member comments:            None, happy as presented</p>

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

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

	<p>Further Report being prepared at request of SMT to identify what they &amp; Council Managers should be doing in terms of H&amp;S</p> <p><b>New Treatment measures and Modifications following last review</b> SMT Report submitted June 09 re gaps in Council H&amp;S Structures &amp; arrangements &amp; further report drafted &amp; subject to approval will be submitted recommending actions required for approval.</p> <p><b>Performance Measures: Balanced Scorecard:</b> None <b>Performance Measures: Other</b> Corporate Health and Safety Action Plan contains Outcome Targets, Risk Assessment of failures, Due Dates and Officer responsibilities.</p>		
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**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>2</sup></b>
<p>RES2. Financial Planning</p> <ul style="list-style-type: none"> <li>Loss of revenue/income generation</li> </ul> <p>Risk Register Ref: FINPLA0008</p>	<p>Interest rate fluctuations cause a fall in expected investment income with effects on service budgets.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Regular monitoring of interest rates</li> <li>Consider ability to move investments</li> <li>Cautious assessment of interest receipts in budget proposals.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place.</li> <li>Ongoing</li> <li>Ongoing</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ol style="list-style-type: none"> <li>Chief Investments Officer and Pension Fund Manager to take new professional qualification in Treasury Management. This will be required of any successors.</li> <li>Reduce lending list and have reference to an approved list of organisations to lend money to.</li> <li>formal monthly meetings to review status of investor bodies.</li> <li>Compare rates to LIBOR<sup>3</sup> and review Building Society ratings to increase flexibility.</li> </ol> <p><b>Performance Measures: Balanced Scorecard: None</b>  <b>Performance Measures: Other: None, beyond monitoring</b></p>	<p><b>Uncontrolled Score: HIGH</b>  Financial: Major/Very Likely  Legislation: Minor/Very Likely  Reputation: Moderate/Very Likely  Service Delivery: Moderate/Very Likely</p> <p><b>Current Score: MEDIUM</b>  Financial: Major/Unlikely  Legislation: Minor/Likely  Reputation: Moderate/Likely  Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: MEDIUM</b>  Financial: Major/Unlikely  Legislation: Minor/Unlikely  Reputation: Moderate/Unlikely  Service Delivery: Moderate/Unlikely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 3<sup>rd</sup> September 2009</p> <p>Date of last Member review: 3<sup>rd</sup> September 2009</p> <p>Member comments: “Ensure these professional assumptions are built into RBWM budgets”.</p>

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

<sup>3</sup> The London Interbank Offered Rate “LIBOR” is a daily reference rate based on the interest rates at which banks borrow unsecured funds from other banks in the London wholesale money market (or interbank market).

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>4</sup></b>
<p>RES3. Financial Planning</p> <ul style="list-style-type: none"> <li>Failure to obtain or maintain a commitment to sustainability</li> </ul> <p>Risk Register Ref: FINPLA0015</p>	<p>Need to reduce waste tonnages that are landfilled to avoid penalty. The Borough faces significant costs - up to £750k pa - if we fail to reduce tonnages taken to landfill.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Green Waste Initiative</li> <li>Revised Disposal Contracts - Investigate new EfW options in new disposal contracts</li> <li>Educate Residents - Ensure residents understand challenge and maximise recycling opportunities</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Proposed, Terry Gould as Lead Officer</li> <li>In progress, Terry Gould as Lead Officer</li> <li>In progress, Terry Gould as Lead Officer</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>Report to Overview and Scrutiny on Procurement monitoring.</li> <li>RecycleBank pilot scheme. Phase 1 launched, Phase 2 commences 07/09/09</li> </ul> <p><b>Performance Measures: Public Prot'n &amp; Sustainability B/S</b></p> <p>6 - NI 191 Residual household waste per household – <b>on target</b></p> <p>7 - NI 192 Household waste recycled and composted – <b>on target</b></p> <p>8 - NI 193 Municipal waste land filled – <b>on target</b></p> <p>27 – Trade Waste tonnage – <b>on target</b></p> <p><b>Performance Measures: Other - None</b></p>	<p><b>Uncontrolled Score: HIGH</b></p> <p>Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p><b>Current Score: HIGH</b></p> <p>Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Likely</p> <p><b>Controlled Score: MEDIUM</b></p> <p>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 Richard Kellaway</p> <p>Cllr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 4<sup>th</sup> September 2009</p> <p>Date of last Member review (by Cllr Kellaway): 4<sup>th</sup> September 2009</p> <p>Member comments: None</p>

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

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>5</sup></b>
<p>RES4. Financial Management</p> <ul style="list-style-type: none"> <li>Insufficient financial resources</li> </ul> <p>Risk Register Ref: FINPLA0019</p>	<p>In the event of high levels of inflation there is a risk that increases in revenue will not keep pace with rising service delivery costs</p> <p>Notably this will emerge if Government grant does not keep pace with service costs or if there is consumer resistance to any proposals to increase income from fees and charges</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Ensure service delivery is contained with available funding</li> <li>Ensure financial planning procedures are in place to identify likelihood of this risk occurring so that measures identified in Council Financial Strategy can be actioned.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>and b. In progress, Andrew Brooker as Lead Officer</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>None</li> </ul> <p><b>Performance Measures: Balanced Scorecard</b></p> <ul style="list-style-type: none"> <li>None</li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>None</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very Likely            Legislation: Moderate/Very Likely            Reputation: Moderate/Very Likely            Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Major/Likely            Legislation: Moderate/Likely            Reputation: Moderate/ Likely            Service Delivery: Major/ Likely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Moderate/Likely            Service Delivery: Moderate/Likely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 4<sup>th</sup> September 2009</p> <p>Date of last Member review: 4<sup>th</sup> September 2009</p> <p>Member comments, There is a 5% cap on Council Tax rises; deflation is the problem now.</p>

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

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>6</sup></b>
<p>RES5. All Services</p> <ul style="list-style-type: none"> <li>Debt recovery failure</li> </ul>	<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"> <li>Individuals</li> <li>Organisations</li> <li>Government bodies</li> </ol> <p>The Council carries £5M of debt from “1”. In practice, 2 and 3 are less of a problem.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>Employing debt recovery companies for Council Tax., Business Rates and Sundry Debtors.</li> <li>Focussing on collectable debt.</li> <li>Use of sufficient Bad Debt provision</li> </ul> <p><b>Current Status of Treatment Measures</b> All in place</p> <p><b>Performance Measures: Balanced Scorecard</b></p> <ul style="list-style-type: none"> <li>Sundry Debt collection &gt; 3 months – <b>off target</b></li> <li>Business rates collection rate – <b>on target</b></li> <li>Council Tax collection rate – <b>on target</b></li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>None</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Very likely Legislation: Moderate/Very likely Reputation: Major/Very likely Service Delivery: Moderate/Very likely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 4<sup>th</sup> September 2009</p> <p>Date of last Member review: 4<sup>th</sup> September 2009</p> <p>Member comments, None.</p>

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

**Current Operational Risks rated as “High” by Resources Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Resources</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>7</sup></b>
<p>RES6. Safeguarding</p> <p>Insufficient financial resources</p>	<p>Increased number of child referrals after numerous high profile cases leads to increased costs on the Authority in order to deal with these in a proper and professional manner.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Ensure sufficient financial reserves to accommodate such spikes in financial demand</li> <li>• Reduce costs by recruiting more Council staff and training existing rather than use Agency workers and reduce Agency staff overall.</li> </ul> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Ongoing</li> </ul> <p><b>Performance Measures: Balanced Scorecard</b> – new risk, none at present</p> <p><b>Performance Measures: Other</b> - new risk, none at present</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Catastrophic/Very likely                      Legislation: Moderate/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/ Unlikely</p> <p><b>Current Score: HIGH</b>                      Financial: Catastrophic/Very likely                      Legislation: Moderate/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/ Unlikely</p> <p><b>Controlled Score: MEDIUM</b>                      Financial: Major/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/ Unlikely</p>	<p>Andrew Brooker, Head of Finance</p> <p>Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 4<sup>th</sup> September 2009</p> <p>Date of last Member review: 4<sup>th</sup> September 2009</p> <p>Member comments, None.</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>1</sup></b>
<p>AC1. Adult Services – Learning Disability</p> <ul style="list-style-type: none"> <li>Conflicting priorities/lack of staff capacity</li> </ul>	<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><b>Treatment Measures</b> Establish systems to provide Officer support should staff shortages occur:</p> <ol style="list-style-type: none"> <li>Business Continuity Plan highlights which team/s required to support the Homes should staff shortages occur. Relevant training for these identified Officers to be undertaken.</li> <li>Use of Pertemps (or other Agency).</li> <li>Use of Homecare staff for "minor" shortages.</li> <li>Management can assist if above fails.</li> <li>Increase and improve awareness of flu jabs. The expectation of the Department of Health is that a flu pandemic is certain to occur.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>In place</li> <li>In place</li> <li>In place</li> <li>Ongoing</li> </ol> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> C30 – Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/very likely Legislation: Major/very likely Reputation: Major/very likely Service Delivery: Catastrophic/very likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/unlikely Legislation: Major/unlikely Reputation: Major/unlikely Service Delivery: Catastrophic/unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Moderate/unlikely Legislation: Major/unlikely Reputation: Major/unlikely Service Delivery: Catastrophic/ unlikely</p>	<p>Allan Brown Head of Adult Services,  Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>2</sup></b>
<p>AC2. Adult Services – Adult Care</p> <ul style="list-style-type: none"> <li>Conflict between national/regional agendas &amp; local priorities</li> </ul>	<p>Adult services have a responsibility in conjunction with the hospital to arrange safe and speedy discharge of people from hospital. If hospitals are under pressure during an emergency then it may not be possible to facilitate the discharge. Financial penalties of £120/day if client is still in bed when they should be out along with reputation damage to Council.</p> <p><b>Treatment measures</b></p> <ol style="list-style-type: none"> <li>Work closely with hospital to provide early warning system.</li> <li>Daily monitoring by use of hospital’s own warning system protocols – green/amber/red/black situations</li> <li>Fill additional support post within 2009/10 budget.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>In place</li> <li>Budgetary approval obtained. In the process of hiring.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>C32 - Older people helped to live at home per 1000 of the population  D41 - delayed transfers of care  D55 - waiting time for assessments  D56 - waiting time for care packages</p> <p>Monitor level of penalties made against RBWM</p>	<p><b>Uncontrolled Score: HIGH</b>  Financial: Moderate/very likely  Legislation: Moderate/very likely  Reputation: Major/very likely  Service Delivery: Major/very likely</p> <p><b>Current Score: MEDIUM</b>  Financial: Moderate/unlikely  Legislation: Moderate/unlikely  Reputation: Major/unlikely  Service Delivery: Major/unlikely</p> <p><b>Controlled Score: MEDIUM</b>  Financial: Moderate/unlikely  Legislation: Moderate/unlikely  Reputation: Major/unlikely  Service Delivery: Major/unlikely</p>	<p>Allan Brown Head of Adult Services,  Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>3</sup></b>
<p>AC3. Adult Services - Learning Disability and Day Care</p> <ul style="list-style-type: none"> <li>• Conflicting priorities/lack of staff capacity</li> </ul>	<p>There are four Day Centres, two that provide services for people with a Learning Disability and two for Older People. Without this service, some individuals and their carers could be put at risk of significant harm and lack of staff to support these services would have a significant impact on the health and safety of the individuals concerned.</p> <p><b>Treatment Measures</b> Provide alternative support framework for staff and/or location:</p> <ol style="list-style-type: none"> <li>Work with the voluntary sector e.g. voluntary day centres, Mencap</li> <li>Look after clients at their own homes if possible through Homecare, Voluntary Day Services or Pertemps.</li> <li>Day to day monitoring of service with reactive protocols in case of difficulty.</li> </ol> <p><b>Current Status of Treatment Measures</b> a.- c All in place</p> <p><b>New Treatment measures and Modifications following last review</b> Management can assist if “a” or “b” fails.</p> <p><b>Performance Measures</b> C30 - Adults with learning disabilities helped to live at home per 1000 of the population.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Very Likely Legislation: Moderate/very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/Unlikely Legislation: Moderate/ Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/ Unlikely Service Delivery: Major/ Unlikely</p>	<p>Allan Brown Head of Adult Services, Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>4</sup></b>
<p>AC4. Adult Services – In-house Home Care</p> <ul style="list-style-type: none"> <li>Conflicting priorities/lack of staff capacity</li> </ul>	<p>Failure of In-House Home Care service can cause significant harm or mortal danger to a client.</p> <p><b>Treatment Measures</b>                      Delayed Discharge Section monitor the number of users and the number of hours of service supplied/demanded to identify fluctuations:</p> <ol style="list-style-type: none"> <li>Daily Health Teleconferences across East Berkshire involving Hospitals, Strategic Health Authority, District Nurses.</li> </ol> <p>Fast track recruitment processes:</p> <ol style="list-style-type: none"> <li>Can recruit direct rather than involve Corporate HR.</li> <li>Pertemps could assist.</li> <li>Staff are still required to undergo necessary CRB checks.</li> </ol> <p>Provide enhanced support to enable people to remain in their own homes:</p> <ol style="list-style-type: none"> <li>The support is practical and emotional and includes getting people up, toileting, meals, medication and putting people to bed.</li> <li>Ensure the Council has the ability to pass out Care Packages to the independent sector.</li> </ol> <p><b>Current Status of Treatment Measures</b>                      a. – f. All in place</p> <p><b>New Treatment measures and Modifications following last review - None</b></p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Likely                      Legislation: Major/Likely                      Reputation: Catastrophic/Likely                      Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Moderate/very unlikely                      Legislation: Major/Very Unlikely                      Reputation: Catastrophic/Very unlikely                      Service Delivery: Catastrophic/Unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/very unlikely                      Legislation: Major/Very Unlikely                      Reputation: Catastrophic/very unlikely                      Service Delivery: Catastrophic/very unlikely</p>	<p>Allan Brown Head of Adult Services,                      Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

Current Operational Risks rated as "High" by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009

	<p><b>Performance Measures</b> C28 - households receiving intensive homecare per 1000 of population aged 65 and above C32 - older people helped to live at home per 1000 population D41 - delayed transfers of care</p>		
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**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>5</sup></b>
<p>AC5. Adult Services – Domiciliary Care</p> <ul style="list-style-type: none"> <li>Failure of Key supplier</li> </ul>	<p>80% of the domiciliary care service is provided by external care agencies. There are currently around 500 people receiving a service from these providers. Lack of suppliers or failure by a supplier to provide adequate levels of care, as determined by reference to legislation, can have a significant impact on the health and safety of the service users.</p> <p><b>Treatment Measures</b>            Contractual terms determine required notice periods:</p> <ol style="list-style-type: none"> <li>Carers may still leave the organisation despite the contractual implications.</li> </ol> <p>Monitoring of service providers:</p> <ol style="list-style-type: none"> <li>Regular Forums held.</li> <li>IT System logs calls to vulnerable people so Officers can monitor developments.</li> <li>Performance linked to Commission for Social Care Inspection</li> <li>Contracts team monitor inspection reports re: quality and standards</li> <li>Retain own internal Homecare Team who can react to pick up short-term supplier shortfall depending on capacity.</li> <li>Working with current providers to create capacity in market.</li> </ol> <p><b>Current Status of Treatment Measures</b>            a. – g. All in place/ongoing</p> <p><b>New Treatment measures and Modifications following last review</b>            “Careforce Group” are in the process of taking over</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Major/Likely            Reputation: Catastrophic/Likely            Service Delivery: Catastrophic/Likely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Major/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown Head of Adult Services,            Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: consider moving Current Score to “Medium”. Matter discussed with Head of Adult Services.</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 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><b>Performance Measures</b>                  C28 - households receiving intensive homecare per 1000 of population aged 65 and above                  C32 - older people helped to live at home per 1000 population                  D41 - delayed transfers of care</p>		
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**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>6</sup></b>
<p>AC6. Adult Services – Mental Health</p> <ul style="list-style-type: none"> <li>Conflicting priorities/lack of staff capacity</li> </ul>	<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 2005<sup>7</sup> is due to be implemented in April 2009 which will also impact on best practice in this area.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Supervision, Team Meetings and regular Assessment training to national standards.</li> <li>Monthly supervision should pick up any poor practice.</li> <li>Monitors complaints by Teams and individual workers.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>In place</li> <li>In place</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>C31 - adults with mental health problems helped to live at home per 1000 of population</p>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Moderate/Likely            Legislation: Moderate/Likely            Reputation: Catastrophic/Likely            Service Delivery: Moderate/Likely</p> <p><b>Current Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Catastrophic/Unlikely            Service Delivery: Moderate/Unlikely</p>	<p>Allan Brown Head of Adult Services,            Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

<sup>7</sup> 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.

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<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>8</sup></b>
<p>AC7. Adult Services – Rapid Response and Rehabilitation</p> <ul style="list-style-type: none"> <li>• Conflicting priorities/lack of staff capacity</li> </ul>	<p>The Intermediate Care Service provides a rapid response and rehabilitation service to prevent inappropriate hospital admission and facilitate safe discharge. They are required to support people to remain in their own homes and the non-availability of this service will result in serious impact to service users.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Attempt to stop people being admitted to hospital by timely intervention.</li> <li>Participation in the daily teleconference allows a degree of pre-planning but constrained by having no influence on this flow of people.</li> <li>Careful monitoring of hospitals and primary care centres to understand capacity issues.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>In place</li> <li>Ongoing</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures</b></p> <p>C29- adults with physical disability helped to live at home per 1000 population  C32 - older people helped to live at home per 1000 population  D41 - delayed transfers of care</p>	<p><b>Uncontrolled Score: HIGH</b>  Financial: Moderate/Likely  Legislation: Moderate/Likely  Reputation: Catastrophic/Likely  Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b>  Financial: Moderate/Unlikely  Legislation: Moderate/Unlikely  Reputation: Catastrophic/Unlikely  Service Delivery: Catastrophic/Unlikely</p> <p><b>Controlled Score: MEDIUM</b>  Financial: Moderate/Unlikely  Legislation: Moderate/Unlikely  Reputation: Catastrophic/Unlikely  Service Delivery: Catastrophic/Unlikely</p>	<p>Allan Brown  Head of Adult Services,</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>9</sup></b>
<p>AC8. Housing Options Team</p> <ul style="list-style-type: none"> <li>Conflicting priorities/lack of staff capacity and economic downturn</li> </ul>	<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><b>Treatment Measures</b></p> <p>Staff</p> <ol style="list-style-type: none"> <li>Monitoring staffing levels (relatively straightforward as team is stable and small) and prioritising efforts to ensure posts are filled quickly if a vacancy arises.</li> <li>Ensure bidding for the training budget prioritised.</li> <li>Value staff. Stringent use of appraisal process, provision of flexible working patterns.</li> <li>Budget approved to create additional post to support Housing Options Team. Advertisement issued in January 2009.</li> </ol> <p>Economic factors</p> <ol style="list-style-type: none"> <li>Continuous monitoring of applications and vigilance to early indications of repossession.</li> <li>Awareness of Government measures to support home ownership. Provision of alternative types of temporary</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Very Likely                      Legislation: Major/Very Likely                      Reputation: Major/Very Likely                      Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Major/Likely                      Legislation: Major/Likely                      Reputation: Major/Likely                      Service Delivery: Major/Likely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Major/ Very unlikely                      Reputation: Major/ Very unlikely                      Service Delivery: Major/Very unlikely</p>	<p>Chris Thomas, Head of Housing &amp; Residential Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 31<sup>st</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: “None, beyond treatment measures need updating.” This aspect subsequently addressed by Officer risk review.</p>

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

	<p>accommodation.</p> <p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. Full complement of staff in place at present.</li> <li>b. and c. Ongoing</li> <li>d. 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.</li> <li>e. No increase in formal Homelessness applications.</li> <li>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</li> </ul> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Vacant post now filled</p> <p><b>Performance Measures</b></p> <p>Monitor use of B&amp;B accommodation. Currently zero.</p>		
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**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

Service Area Risk Adult & Community	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>10</sup>
<p>AC9. Emergency Duty Team</p> <ul style="list-style-type: none"> <li>• Failure of Key supplier</li> </ul> <p><b>Risk Register: SDADCO0006</b></p>	<p>The Emergency duty team is provided by Bracknell and operates when RBWM offices are closed. If the team fail for any reason or if there 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><b>Treatment Measures</b> Monitor management of Emergency Duty team in prescribed fashion.</p> <ol style="list-style-type: none"> <li>Head of Adult Services sits on Client/Officer Group to monitor management of Unit.</li> <li>Monthly activity reports by Local Authority area.</li> <li>Cold calling by Head of Adult Services.</li> <li>Emergency Duty Team has their own risk assessments regarding the integrity of computer system and data.</li> <li>Appropriate data on known Service Users is shared to improve knowledge base.</li> </ol> <p><b>Current Status of Treatment Measures</b> a. – e. All in place</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• NI 131 and NI 132 – performance relating to timeliness of social care assessments.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Likely Legislation: Moderate/Likely Reputation: Moderate/Likely Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: LOW</b> Financial: Moderate/Very unlikely Legislation: Moderate/Very unlikely Reputation: Moderate/Very unlikely Service Delivery: Major/Very unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Very unlikely Legislation: Moderate/Very unlikely Reputation: Moderate/Very unlikely Service Delivery: Major/Very unlikely</p>	<p>Allan Brown, Head of Adult Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: “Performance Metrics (sic) should be included”</p>

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>11</sup></b>
<p>AC10. Leisure Services (incl. Parks, Play Equipment) and Adult Care services.</p> <ul style="list-style-type: none"> <li>Failure to adhere to Health and Safety practice</li> </ul>	<p>Death or serious injury to a service user as a consequence of using a Council facility.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Staff training and CRB<sup>12</sup> checks.</li> <li>Robust and tested systems in place with external QUEST<sup>13</sup> accreditation, NOP's<sup>14</sup> as part of PIG's<sup>15</sup>. PIG's signed off by Members and determine permissible range of activities.</li> <li>H&amp;S Management systems reviewed in accordance with HSG65<sup>16</sup> and ISRM<sup>17</sup> accreditation.</li> <li>Extensive induction manual and orientation protocols.</li> <li>Liaison with RBWM Insurance and Risk Management team on best practice.</li> <li>Appointment of Unit Risk Manager to ensure systems controlled and reviewed by Unit Risk Assessments.</li> <li>Defibrillators at all 3 Leisure facilities with staff trained in its use.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Ongoing as part of established operating protocols.</li> <li>NOP's and PIG's regularly reviewed as part of modifying QUEST accreditation.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Major/Unlikely                      Legislation: Catastrophic/Likely                      Reputation: Catastrophic/Likely                      Service Delivery: Moderate/ Likely</p> <p><b>Current Score: LOW</b>                      Financial Moderate/Very unlikely                      Legislation: Moderate/Very unlikely                      Reputation: Moderate/Very unlikely                      Service Delivery: Moderate/Very unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Very unlikely                      Legislation: Moderate/Very unlikely                      Reputation: Moderate/Very unlikely                      Service Delivery: Moderate/Very unlikely</p>	<p>Kevin Mist, Head of Leisure Services</p> <p>Allan Brown, Head of Adult Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 15<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: None</p>

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

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

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

<sup>14</sup> Normal Operating Procedures

<sup>15</sup> Policies Information and Guidance

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

<sup>17</sup> Institute of Sport and Recreation Management

	<p>a. Annual review  b. Ongoing  c. Risk Awareness training sessions undertaken for Leisure Centres staff 19<sup>th</sup> May and 21<sup>st</sup> July 2008 by Insurance &amp; Risk Manager and external insurers.  d. In place  e. In place</p> <p><b>New Treatment measures and Modifications following last review</b>  None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• Windsor “Highly Commended” (81%) at last accreditation 10-11/05/07. Accreditation runs to 17/05/09.</li> <li>• Magnet “Excellent” (85%) at last accreditation 27-28/09/07. Accreditation runs to 04/10/09</li> <li>• 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.</li> </ul>		
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**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>18</sup></b>
<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"> <li>• Providers withdraw from market.</li> <li>• Specialist in-house services become unsustainable.</li> <li>• Poor quality or dangerous supply of service from untrained and unregulated Providers.</li> <li>• Clash with ICS<sup>19</sup> phase 1c implementation in October 2009</li> <li>• Unexpected legislative/policy changes impact upon targets.</li> </ul> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>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.</li> <li>b. Pilot implementation scheme</li> <li>c. Provision of risk triggers in assessment process</li> <li>d. “Managing The Market” Group set up to provide support and guidance re: contracts, services etc.</li> </ol> <p><b>Current Status of Treatment Measures</b></p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Major/Very Likely                      Legislation: Major/Very Likely                      Reputation: Major/Very Likely                      Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Major/Unlikely                      Legislation: Major/Unlikely                      Reputation: Major/Unlikely                      Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Unlikely                      Legislation: Minor/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Minor/Very unlikely</p>	<p>tba,                      Transforming Social Care Project Manager</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last Officer review (By Allan Brown, Head of Adult Services): 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p> <p>Member comments: “I believe the Current Score should be Medium”.</p>

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

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

**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

	<ul style="list-style-type: none"> <li>a. Risks reviewed on at least a monthly basis.</li> <li>b. scheduled for October 2009 subject to Cabinet approval June/July 2009</li> <li>c. If sufficient risk triggers activated, RBWM will hold and administer budget</li> <li>d. Ongoing. Includes sub-groups for specific Workstreams.</li> </ul> <p><b>New Treatment measures and Modifications following last review</b>                  Incumbent Transforming Social Care Project Manager promoted to post of Joint Commissioning Manager. Need to recruit replacement Lead Officer on this project.</p> <p><b>Performance Measures</b>                  % of total Adult Client base in receipt of a personal budget. However we do not have a target at present since this is currently under negotiation between RBWM and GOSE.</p>		
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**Current Operational Risks rated as “High” by Adult and Community Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Adult &amp; Community</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>20</sup></b>
<p>AC12. All Services</p> <p>Failure to meet Government policy demands.</p>	<p>Demographic change affects demand for Council Services.</p> <p><b>Treatment Measures</b> Use of Medium Term Financial Plan to reserve suitable sums to provide for potential changes.</p> <p><b>Current Status of Treatment Measures</b> A substantial sum (£3M over 3-5 years) to reflect changes in demand has been identified in the most recent MTFP.</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b> To follow</p>	<p><b>Uncontrolled Score: MEDIUM</b> Financial: Major/Likely Legislation: Major/Likely Reputation: Major/Likely Service Delivery: Minor/Very unlikely</p> <p><b>Current Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Very unlikely</p>	<p>Allan Brown, Head of Adult Services</p> <p>Cllr Simon Dudley</p> <p>Frequency of review: quarterly</p> <p>Date of last Officer review: 27<sup>th</sup> July 2009</p> <p>Date of last Member review: 15<sup>th</sup> July 2009</p>

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

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Children’s Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners<sup>i</sup></b>
<p>CS1. Childrens’ Safeguarding</p> <p>Failure to adhere to Health and Safety practice</p> <p>Risk Reg Ref: SDCHIL7</p>	<p>Failure to follow correct safeguarding procedures leads to serious harm, injury or potential fatality to a child.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Adventure Activities Licensing Authority held by Offsite Activities co-ordinator.</li> <li>Ensure processes and systems to enable robust defence of civil or criminal actions that may nonetheless occur.</li> <li>Clear eligibility criteria for referrals to Safeguarding Teams</li> <li>Provide Awareness Training for teams.</li> <li>Produce and review all Safeguarding plans.</li> <li>Investment in Advanced Skills Teachers (AST) standards to enable staff to provide detailed advice re: PE, Design and Technology issues.</li> <li>Plans in hand to develop frontline in-service training for Social Workers regarding Child Protection.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place and up to date.</li> <li>Recent Child Protection inspections from Ofsted, Audit Commission and CSCI<sup>ii</sup> have all confirmed safe practices are in place at RBWM.</li> <li>In place</li> <li>Undertaken regularly.</li> <li>All plans regularly reviewed as fit for purpose with audit trail.</li> <li>AST’s in place.</li> <li>In place.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Advertising to recruit more AST’s.</p>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Very Likely                      Reputation: Catastrophic/Very Likely                      Service Delivery: Moderate/ Likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Major/Unlikely                      Service Delivery: Moderate/Very unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Moderate/Unlikely                      Legislation: Moderate/Very Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: Moderate/Very unlikely</p>	<p>Cliff Turner,                      Director of                      Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review:                      Quarterly</p> <p>Date of last review                      by Officer:                      4<sup>th</sup> August 2009</p> <p>Date of last review                      by Lead Member:                      16<sup>th</sup> April 2009</p>

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	<p><b>Performance Measures</b></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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**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 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"> <li>Inadequate repair &amp; maintenance/investment in equipment</li> </ul> <p>Risk Register ref: SDCHIL0011</p>	<p>Failure of reactive maintenance / failure of local management &amp;/or project management to address problems in schools leads to exposure to injuries due to building failures.</p> <p>Failure of schools carrying out building related project works to use necessary experience or knowledge leads to injuries from avoidable dangers arising.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Conditions surveys carried out in all schools as part of the Council’s rolling programme.</li> <li>All school sites were inspected for appropriate treatment of hazards to those working at heights under CDM<sup>iii</sup> Regulations.</li> <li>CDM assessment matrix to assist schools with planned maintenance, building works/project management.</li> <li>Department for Children, Schools and Families<sup>iv</sup> Web Portal available.</li> <li>Help desk for schools.</li> <li>The Council has recently purchased the Technology Forge system which has a module that will enable schools to cost and monitor projects.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place – schools receive condition reports</li> <li>Done</li> <li>In place</li> <li>In place</li> <li>In place</li> <li>Will report on rollout at next quarterly update.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>Records of inspection frequency and follow up works</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>            Financial: Major/Very likely            Legislation: Major/Very likely            Reputation: Catastrophic/very likely            Service Delivery: Catastrophic/very likely</p> <p><b>Current Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: LOW</b>            Financial: Moderate/Unlikely            Legislation: Moderate/Unlikely            Reputation: Moderate/Unlikely            Service Delivery: Moderate/unlikely</p>	<p>Cliff Turner, Director of Children’s Services</p> <p>Cllr Mrs Alison Knight</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 4<sup>th</sup> August 2009</p> <p>Date of last review by Lead Member: 2<sup>nd</sup> September 2009</p> <p>Member comments: None, risk is acceptable as stated</p>

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Children’s Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<p>CS3. Childrens’ Services</p> <p>Failure to improve services</p> <p>Risk Reg Ref: SDCHIL6</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><b>Treatment Measures</b></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><b>Current Status of Treatment Measures</b></p> <p>a. Targeted support to schools whose attainments are “Hard to Shift<sup>v</sup>”.</p> <p>b. Increasing number of Headteachers seconded as part-time advisers –four in total</p> <p><b>New Treatment measures and Modifications following last review</b></p> <p>a. DCSF “Gaining Ground” funding granted, which can now be accessed by four secondary schools</p> <p><b>Performance Measures</b></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><b>Uncontrolled Score: HIGH</b>                      Financial: Minor/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Major/Very Likely                      Service Delivery: Major/very likely</p> <p><b>Current Score: MEDIUM</b>                      Financial: Minor/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Moderate/Likely                      Service Delivery: moderate/unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Minor/Unlikely                      Legislation: Moderate/Unlikely                      Reputation: Moderate/Unlikely                      Service Delivery: moderate/unlikely</p>	<p>Cliff Turner,                      Director of                      Children’s Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review:                      Quarterly</p> <p>Date of last review                      by Officer:                      4<sup>th</sup> August 2009</p> <p>Date of last review                      by Lead Member:                      16<sup>th</sup> April 2009</p>

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Children’s Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<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>Risk Reg Ref: SDCHIL5</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><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Meet with TDA<sup>vi</sup> on termly basis to discuss progress on agenda.</li> <li>Attend TDA updates and training events.</li> <li>Comply with data requests on schools by TDA via database.</li> <li>Ensure adequate staffing in RBWM to undertake “c”.</li> <li>Marketing and communications in place on regular basis.</li> <li>Consultation with stakeholders by schools at least annually.</li> <li>Consultation with service providers.</li> <li>Encourage schools to achieve Quality Mark in study support.</li> </ol> <p><b>Current Status of Treatment Measures All on target</b></p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>50% of schools meeting full core offer by 2008.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b>                      Financial: Major/Very Likely                      Legislation: Major/Very unlikely                      Reputation: Major/Likely                      Service Delivery: Major/Likely</p> <p><b>Current Score: LOW</b>                      Financial: Minor/Very Unlikely                      Legislation: Minor/Very Unlikely                      Reputation: Minor/Very Unlikely                      Service Delivery: Minor/Very Unlikely</p> <p><b>Controlled Score: LOW</b>                      Financial: Minor/Very Unlikely                      Legislation: Minor/Very Unlikely                      Reputation: Minor/Very Unlikely                      Service Delivery: Minor/Very Unlikely</p>	<p>Cliff Turner, 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: 4<sup>th</sup> August 2009</p> <p>Date of last review by Lead Member: 16<sup>th</sup> April 2009</p>

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009**

	<p>RBWM currently at 57%</p> <ul style="list-style-type: none"><li>• 100% of schools meeting full core offer by 2010.</li><li>• 4 Schools achieved Quality Mark this year. 6 schools planned for next year.</li><li>• Monitoring by Chief Executive’s Major Projects Board.</li></ul>		
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**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 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>Risk Reg Ref: SDCHIL12</p>	<p>Failure to complete four designated Childrens' Centres (which includes a rural model) by 31<sup>st</sup> March 2010 will result in loss of Government funding wasted resources – financial and Officer - in capital development, and a failure in the Council’s statutory duty.</p> <p><b>Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• Service embedded through Children’s Trust board who ensure duties are met by agenda</li> <li>• Head of Services for Families and Young People takes lead on overall management</li> <li>• Project progress monitored by Chief Executive’s Major Projects Group.</li> <li>• Specific support from other Council teams as well as dedicated time within Service Area, e.g. ICT</li> <li>• Dedicated programme manager</li> <li>• Dedicated time from other teams in Children’s Services, e.g. School Accommodation.</li> </ul> <p><b>Current Status of Treatment Measures</b> All on target</p> <p><b>New Treatment measures and Modifications following last review</b> None</p> <p><b>Performance Measures</b></p> <ul style="list-style-type: none"> <li>• Progress quarterly monitored by Together For Children<sup>vii</sup> and Norfolk Property Services. Currently rated as “Low risk” by those Agencies and hence minimal input from those agencies.</li> <li>• Measure phased opening by March 2010</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/unlikely</p>	<p>Cliff Turner, 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: 4<sup>th</sup> August 2009</p> <p>Date of last review by Lead Member: 16<sup>th</sup> April 2009</p>

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 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>Risk Reg Ref: SDCHIL4</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><b>Treatment Measures</b></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><b>Current Status of Treatment Measures</b></p> <p>a. Management review completed and reported to Cabinet November 2008.</p> <p>b. Now implementing recommendations from the management review</p> <p><b>New Treatment measures and Modifications following last review</b></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><b>Performance Measures:</b> PSA 14 applies:</p> <ul style="list-style-type: none"> <li>• Indicator 1: Reduce the proportion of 16-18 year olds who are not in education, training or employment (NEET)</li> <li>• Indicator 2: More participation in positive activities</li> <li>• Indicator 3: Reduce the proportion of young people frequently using illicit drugs, alcohol or volatile substances</li> <li>• Indicator 4: Reduce the under-18 conception rate</li> <li>• Indicator 5: Reduce the number of first-time entrants to the criminal justice system aged 10-17.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b></p> <p>Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p><b>Current Score: HIGH</b></p> <p>Financial: Moderate/Likely Legislation: Minor/Very unlikely Reputation: Major/Very likely Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: LOW</b></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: 4<sup>th</sup> August 2009</p> <p>Date of last review by Lead Member: 16<sup>th</sup> April 2009</p>

**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 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>Risk Reg Ref: SDCHIL9</p>	<p>Failure of Headteachers, as the RPBS (Responsible Person for Building Health and Safety), to demonstrate competence in application of CDM<sup>viii</sup> 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 (See second bullet on “New Treatment..”)</p> <p>Treatment Measures:</p> <ol style="list-style-type: none"> <li>1. Carried out a business &amp; health and safety risk assessment via the LEA Liabilities Group.</li> <li>2. CDM Requirements &amp; Guidance for Schools and the School Pack provides the Implementation Process and Tools to operate it.</li> <li>3. Provide training to Headteachers (as RPBS's) and nominated Deputy RPBS's for CDM responsible for operating the policy and tools.</li> <li>4. Outstanding work on control mechanisms to be agreed and overseen by LEA Liabilities Group.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <p>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><b>New Treatment measures and Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• Further CDM training sessions arranged for 11<sup>th</sup> June, 6/7 and 14/15 October, 3<sup>rd</sup> and 4<sup>th</sup> November 2009.</li> <li>• RBWM Health &amp; Safety Manager approached Health &amp; Safety</li> </ul>	<p><b>Uncontrolled Score: HIGH</b></p> <p>Financial: Moderate/Likely                      Legislation: Catastrophic/Likely                      Reputation: Catastrophic/Likely                      Service Delivery: Moderate/Likely</p> <p><b>Current Score: HIGH</b></p> <p>Financial: Moderate/Likely                      Legislation: Catastrophic/Likely                      Reputation: Catastrophic/Likely                      Service Delivery: Moderate/Likely</p> <p><b>Controlled Score: LOW</b></p> <p>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:                      4<sup>th</sup> August 2009</p> <p>Date of last review                      by Lead Member:                      16<sup>th</sup> April 2009</p>

Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009

	<p>Executive for legal advice on particular Headteachers’ contrary view on this.</p> <ul style="list-style-type: none"><li>• Ongoing request by Headteachers of Secondary Schools to be able to delegate RPBS role currently being investigated by Director Children’s Services with support from H&amp;S &amp; Legal Services.</li></ul> <p><b>Performance Measures</b> Director has written to Headteachers to explicitly remind them of their responsibilities.</p>		
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**Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Children’s Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<p>CS8. Holyport Manor School</p> <p>Risk Reg Ref’s: HOLYPO1 - 12</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"> <li>• Reputation: far more good news stories associated with project than bad news stories. Nevertheless, any problems are likely to be seized by campaigners against the project as evidence of its failure.</li> </ul> <p><b>Key Treatment Measures</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Financial contingency funds built into Building Services estimates. Building industry has surplus capacity so cost increases unlikely.</li> <li>• Project monitoring at Chief Executive’s Major Project Board.</li> </ul> <p><b>New Treatment measures/Modifications following last review</b></p> <ul style="list-style-type: none"> <li>• New “High” risk added to Risk Register: Failure to procure Furniture, Fittings and Equipment on time leads to opening of school being delayed.</li> <li>• Control - Identify/Recruit a dedicated resource to deal with all procurement</li> </ul> <p><b>Performance Measures</b> School building complete by May 2010 and open by September 2010.</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Likely Legislation: Minor/Very unlikely Reputation: Moderate/Very Likely Service Delivery: Catastrophic/Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Minor/Unlikely Legislation: Minor/Very unlikely Reputation: Moderate/Likely Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Minor/Unlikely Legislation: Minor/Very unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Unlikely</p>	<p>Chris Thomas, Head of Housing &amp; Residential Services</p> <p>Cllr Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last review by Officer: 24<sup>th</sup> July 2009</p> <p>Date of last review by Lead Member: 16<sup>th</sup> April 2009</p>

## Current Operational Risks rated as “High” by Children’s Services Directorate as at 30<sup>th</sup> September 2009

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

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

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

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

<sup>v</sup> 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.

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

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

<sup>viii</sup> Construction (Design and Management)

**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners <sup>1</sup>
<p>ENV1. Highways drainage</p> <ul style="list-style-type: none"> <li>• Impact of flooding</li> </ul> <p>Risk Register Ref: HIGHD'2</p>	<p>Localised surface water and abuse of drains causes surcharges resulting in numerous smaller incidents leading to disruption, cost and reputation damage to RBWM for not foreseeing stress on capacity. Much of the treatment measures can only react to a certain level of flooding; there becomes a stage where the impact of the weather could be out of the Council's ability to satisfactorily mitigate.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. Lobby Thames Water to pursue further improvements to maintain adequate drainage</li> <li>b. Identify and condition programme improvements/maintenance to RBWM drains.</li> <li>c. Increase community awareness of "abused" drains esp. in Windsor (oldest infrastructure)</li> <li>d. Ensure viable alternative centres for providing response to any disruptive incidents in the local community.</li> <li>e. RBWM Flood Plan on Council Internet for public</li> <li>f. Provide Rest Centre training.</li> <li>g. Develop Multi-agency Flood Group to implement Government recommendations.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>a. This is a capacity problem and is largely in the control / purview of Thames Water as opposed to RBWM. Continued lobbying of Thames Water. Thames Water have issued a 5 year plan.</li> <li>b. Programme for gully emptying ongoing. Capital programme for land drainage schemes. Recent completion of two major capital schemes.</li> <li>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.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p><b>Controlled Score: MEDIUM</b> Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p>	<p>David Perkins, Head of Operations</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 3<sup>rd</sup> September 2009</p> <p>Date of last Member review: 10<sup>th</sup> August 2009, no comments</p>

**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

	<p>d. Community Flood Plan now rolled out to Parish Councils.  e. In place from August 2008  f. Completed rest centre training May 2008.  g. Defra have published the draft Floods &amp; Water Management Bill likely to be enacted in 2010. The bill proposes new responsibilities for Local Authorities.</p> <p><b>New Treatment measures and Modifications following last review</b>  Implementation of Floods and Water Management Bill. Cabinet report approved. Preliminary work in progress.</p> <p><b>Performance Measures: Highways &amp; Engineering B/S</b></p> <ul style="list-style-type: none"> <li>• Capital Programme Completion</li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• Compliance with proposed bill although the Council's response is not intended to be restricted to these.</li> </ul>		
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**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Environment Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<p>ENV2 Highways maintenance</p> <ul style="list-style-type: none"> <li>Failure to meet minimum legislative requirements.</li> </ul> <p>Risk Register Ref: STREET'3</p>	<p>Failure to maintain roadsurfacing and streetscene (carriageways, footways, signs, lines etc) to statutory minimum level to maintain safe standards.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Written protocols accounting for current legislation re: inspection regimes with highways repairs to agreed standards for relevant Officers to operate to.</li> <li>Reactive crew to respond to call-outs and non-hazardous defects. Standards differ according to emergency and non-emergency works.</li> <li>Emergency repairs usually reported by public with immediate response by standard procedure. Other Officers also report defects in addition.</li> <li>Planned work by association with Capital Programme.</li> <li>Officers all briefed on use of Council handbook for assessing road conditions which has been compiled with regard to legislation</li> <li>Provide regular claims statistics to demonstrate success/failure of defences based on inspection programme.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>– e. All in place, f. In place, provided quarterly.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>None</p> <p><b>Performance Measures: Highways &amp; Engineering B/S</b></p> <ul style="list-style-type: none"> <li>13, NI 168 - Principal roads where maintenance should be considered – <b>on target</b></li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Catastrophic/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Stephen Brown, Head of Highways &amp; Engineering</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 3<sup>rd</sup> September 2009</p> <p>Date of last Member review: 10<sup>th</sup> August 2009, no comments</p>

**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

	<ul style="list-style-type: none"> <li>• 14, NI 169 - Non-principal roads where maintenance should be considered – <b>on target</b></li> <li>• 15, Condition of unclassified roads – <b>on target</b></li> <li>• 17, NI 47 - People killed or seriously injured in road traffic accidents – <b>on target</b></li> <li>• 18, NI 48 -Children killed or seriously injured in road traffic accidents – <b>on target</b></li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• Claims experience indicates RBWM is within upper quartile for fewest claims arising for Highways defects based on draft Cipfa benchmarking 2009 against other Unitary authorities:</li> <li>• No. claims per km of Highway - 0.6, average 2.2</li> <li>• Cost of claims per km of highways - £0.6k, average £4.2k</li> <li>• Total cost of Highways claims per 1000 of population - £3.6k, average £10.1k</li> </ul>		
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**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Environment Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<p>ENV3 Public Protection</p> <ul style="list-style-type: none"> <li>Failure to meet minimum legislative requirements for 1) Food, 2) Health and Safety, 3) Housing</li> </ul> <p>Risk Register Ref: PPS'7</p>	<p>Failure to meet preventative statutory obligations results in</p> <ol style="list-style-type: none"> <li>death or serious illness/injury of residents, visitors, employees and/or other third parties;</li> <li>spread of notifiable disease and decimation of local/national farming economy</li> </ol> <p>plus consequent prosecution, fines and negative publicity.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>The Council's policy in respect to Food Safety is to inspect 80% of high-risk food premises and to target Health &amp; Safety in premises in line with HSE themes given the levels of available resources and capacity.</li> <li>The new House in Multiple Occupation (HMO) Inspection regime is being developed to prioritise high-risk identified sites.</li> <li>Council Tax protocols to identify and report multiple registrations at the same address which target potential new sites for investigations.</li> <li>All High Risk premises to be inspected during 2008. Progress encouraged by setback to any business's reputation if they are not assessed to standard.</li> <li>FSA<sup>ii</sup>/HSE<sup>iii</sup> Reporting.</li> <li>Promotional activity i.e. community awareness in "Around the Royal Borough".</li> <li>Provision of sufficient and competent resource capacity.</li> <li>The Council's policy in respect of Animal Health is to inspect 100% of high-risk premises and to comply with a Defra<sup>iv</sup> required Service Delivery Plan</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Reviewed triennially by Cabinet</li> <li>In progress</li> <li>In place</li> </ol>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very Likely Legislation: Catastrophic /Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Very Likely</p> <p><b>Current Score: HIGH</b> Financial: Major/Very Likely Legislation: Catastrophic/Very Likely Reputation: Major/Very Likely Service Delivery: Catastrophic/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Cllr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 7<sup>th</sup> September 2009</p> <p>Date of last Member review:</p>

	<p>d. In place  e. In place  f. Ongoing  g. In progress  h. Rewritten annually. Cabinet review/approval not required.</p> <p><b>New Treatment measures and Modifications following last review</b>  None</p> <p><b>Performance Measures:</b>  <b>Public Protection &amp; Sustainability B/S</b></p> <ul style="list-style-type: none"> <li>• 1, NI 12 Refused and deferred Houses in Multiple Occupation license applications leading to immigration enforcement activity – <b>on target</b></li> <li>• 4, NI 184 Food establishments in the area which are broadly compliant with food hygiene law – <b>on target</b></li> <li>• 23, No of regulatory Food Safety Plan inspections completed – <b>on target</b></li> <li>• 24, Number of owner occupied or privately rented non decent homes<sup>iv</sup> made decent through grant aid, loan or enforcement – <b>on target</b></li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• Inspect 80% of high-risk food premises.</li> <li>• All High Risk premises to be inspected during 2008</li> <li>• Inspect 100% of high-risk animal health premises</li> <li>• NI 190 Achievement in meeting standards for the control system for animal health – new NI for 09/10</li> </ul>		
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**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>ENV4 Asset Management and Health and Safety</p> <ul style="list-style-type: none"> <li>Failure to meet minimum legislative requirements</li> </ul> <p>Risk Register Ref: BS'1</p>	<p>Failure to apply Asbestos, Legionella, Glazing, Fire Safety and Working at Height policies. Leads to damage, breaches of legislation and possible punitive measures including public criticism, fines, compensation claims.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Systematic inspection and testing regimes.</li> <li>Asbestos Register, Action Plan &amp; Asbestos Permit to Work</li> <li>External contractor awareness as part of Responsible Persons for Building Health &amp; Safety (RPBS) role, contained within relevant policies &amp; contained within Local Permit to Work arrangements for Schools.</li> <li>Staff awareness and relevant training arrangements for various roles e.g. Fire Wardens, RPBS's/Deputy RPBS's etc.,.</li> <li>Training on policies specifically addressed at schools.</li> <li>Water Hygiene Manager appointed. Legionella Risk Assessments; local premises water management &amp; regime for temperature checks</li> <li>Implement Asset Management Software "Technology Forge", to integrate site information.</li> <li>Glazing policy rolling out – surveys and risk assessments.</li> <li>Fire policy and Fire Risk Assessments rolling out including Housekeeping Fire Risk Assessment by RPBS's. Funding arrangements now require revision of policy to clearly show that any funding required consequent to these assessments be met by the School concerned. Other premises fire safety work bids to be made within budget setting arrangements within the Council.</li> <li>Working At Height policy and implementation arrangements &amp; procedures need to be finalised and rolled out.</li> </ol>	<p><b>Uncontrolled Score: HIGH</b> Financial: Moderate/Unlikely Legislation: Catastrophic/Likely Reputation: Catastrophic/Likely Service Delivery: Major/Likely</p> <p><b>Current Score: MEDIUM</b> Financial: Moderate/Very unlikely Legislation: Catastrophic/Unlikely Reputation: Major/Very unlikely Service Delivery: Moderate/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Very unlikely Legislation: Catastrophic/Very unlikely Reputation: Major/Very unlikely Service Delivery: Moderate/Unlikely</p>	<p>Rob Packham, Building Services Manager and Lynda Verrall-Wilson, Health and Safety Manager</p> <p>Cllr Mrs Alison Knight</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 24<sup>th</sup> June 2009</p> <p>Date of last Member review (by Cllr Hilton): 6<sup>th</sup> May 2009</p> <p>Member (Cllr Hilton) comments: "We have a well documented plan."</p> <p>Date of last Member review (Cllr Mrs Knight): 2<sup>nd</sup> September 2009</p> <p>Member comments (Cllr Mrs Knight): "Current score acceptable at Medium pending completion of outstanding roll out of treatments g-j."</p>

	<p><b>Current Status of Treatment Measures</b></p> <ul style="list-style-type: none"> <li>a. In place. Housekeeping Fire Risk Assessments &amp; therefore Full Fire Risk Assessments outstanding for Corporate Buildings (linked to clarification of RPBS role for Fire Safety).</li> <li>b. Register is in place. Action plan needs updating and currently working on update of Asbestos Policy and Simple Guides linked to update of Regulations and Council Restructuring. Outstanding arrangements required for schools not bought into Building Services SLA. &amp; ongoing monitoring arrangements to be checked for non-school premises.</li> <li>c. RPBS's &amp; Deputy RPBS's appointed, however, recent query re request to delegate this role by Headteachers e.g. in Secondary Schools is currently being investigated by Director of Children's Services with H&amp;S &amp; Legal. Local Permit to Work arrangements required for works in schools.</li> <li>d. RPBS's &amp; Deputy RPBS's undertake this as required other than Secondary School Headteachers query as in (c) above. RPBS's for Fire Safety (main offices) outstanding.</li> <li>e. Ongoing – plus as in (d) above.</li> <li>f. Water Hygiene Manager in place. Legionella Risk Assessments being rolled out. Quarterly for Legionella and monthly temperature checks. Sampling regime also in place. Monitoring of ongoing works arising required.</li> <li>g. Approved and implementation scheduled for September 2009.</li> <li>h. Policy in place; roll out ongoing. Monitoring of ongoing works arising required.</li> <li>i. Policy in place; roll out ongoing. Monitoring of ongoing works arising required.</li> <li>j. Being finalised before rollout; policy drafted awaiting feedback from DMT's re implementation requirements.</li> </ul>		
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Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009

	<p><b>New Treatment measures and Modifications following last review</b> Refer to items g-j above</p> <p><b>Performance Measures: Asset Management Scorecard</b></p> <ul style="list-style-type: none"><li>• No indicators</li></ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"><li>• Corporate Health and Safety Plan contains Outcome Targets, Risk Assessment of failures, Due Dates and Officer Responsibilities.</li><li>• Policies in place for all except Working At Height but suitable monitoring process to be established.</li></ul>		
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**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

<b>Service Area Risk Environment Services</b>	<b>Detail and Treatment Measures</b>	<b>Risk Assessment</b>	<b>Risk Owners</b>
<p>ENV5 Highways • Winter Maintenance of Highways and Transport network</p> <p>Risk Register Ref: STREET'2</p>	<p>Failure to assess resources and demands resulting from cold weather leads to poor reaction to ice/snow and increased inconvenience/accidents to residents, local services and businesses.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Comprehensive annual Winter Maintenance plan detailing roles, responsibilities, contractors incl. gritting routes, grit ordering, Designated Duty Officer.</li> <li>Risk Assessments behind road treatment strategy exist and are held by Highways. Contractors also have their own risk assessments for carrying out the works.</li> <li>Duty Officer takes daily responsibility for implementing Winter Maintenance launch and roll-out.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>In place</li> <li>Available daily</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Increased standard salt stockpile in depot by 50% following February snowfalls. Stock maintained in covered store.</p> <p><b>Performance Measures: Highways &amp; Engineering B/S</b></p> <ul style="list-style-type: none"> <li>Number of call outs year on year – <b>on target</b></li> <li>Number of responses within allotted time - <b>on target</b></li> </ul> <p><b>Performance Measures: other</b></p> <ul style="list-style-type: none"> <li>Test gritting contract to ensure compliance with 4 hour call-out response.</li> </ul>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Moderate/Very likely</p> <p><b>Current Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Steve Brown, Head of Engineering and Transport</p> <p>Cllr Colin Rayner</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 3<sup>rd</sup> September 2009</p> <p>Date of last Member review: 10<sup>th</sup> August 2009, no comments</p>

**Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009**

Service Area Risk Environment Services	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>ENV6 Public Safety and Protection</p> <ul style="list-style-type: none"> <li>Failure to deliver services at agreed cost/specification/quality</li> </ul> <p>Risk Register Ref: WS'2</p>	<p>Failure to secure waste disposal facility leads to increased costs of clearance and escalating financial challenges to meet prescribed Government targets in terms of what is sent to landfill. Failure to secure contract for organic and non-organic domestic waste collection.</p> <p><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Implement BMW<sup>v</sup> reduction strategy.</li> <li>Procure suitable disposal facility by 2012</li> <li>Recycling initiatives to reduce tonnages.</li> <li>Community/public awareness of waste minimisation schemes.</li> <li>Contract meetings and monitoring.</li> <li>Member Waste Working Group set up</li> <li>Waste Treatment &amp; Disposal Project Board set up including Legal, Audit, Accountancy, Insurance, Risk and Procurement Officer representation.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>In place</li> <li>Ongoing</li> <li>Profile increased linked to sustainability objectives e. g. composting and Green Waste initiatives.</li> <li>d – f. Ongoing</li> <li>Fortnightly meetings up to Outline Solutions submissions (May 2009). Project plan determines input thereafter. Project Manager appointed to steer process.</li> </ol> <p><b>New Treatment measures and Modifications following last review</b></p> <p>Ensure Contractor has business continuity arrangements in place. Report to Overview and Scrutiny on Procurement monitoring. RecycleBank pilot scheme. Phase 1 launched, Phase 2 commences 07/09/09</p>	<p><b>Uncontrolled Score: HIGH</b> Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Major/Likely Service Delivery: Minor/Unlikely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Likely Legislation: Major/Likely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Minor/Unlikely</p>	<p>Terry Gould, Head of Public Protection and Sustainability</p> <p>Cllr Phil Bicknell</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 3<sup>rd</sup> September 2009</p> <p>Date of last Member review:</p>

Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009

	<p><b>Performance Measures:</b> <b>Public Protection &amp; Sustainability B/S</b></p> <ul style="list-style-type: none"><li>• 10, NI 191 Residual household waste per household – <b>on target</b></li><li>• 11, NI 192 Household waste recycled and composted. Includes LAA Reward target of 33.75% for recycling &amp; composting (2007/08 to 20010/11) – <b>on target</b></li><li>• 12, NI 193 Municipal waste land filled – <b>on target</b></li></ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"><li>• “Work.Together” project management information and national PI framework is available.</li><li>• Risk Management framework accompanies this project and is used as part of reporting mechanism to Programme Board.</li></ul>		
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Service Area Risk Environment Services	Detail and Treatment Measures	Current Key Environmental Risks	Operational Risks as at 30 <sup>th</sup> September 2009
<p>ENV7 Assets and Building Services</p> <ul style="list-style-type: none"> <li>Failure to maintain property portfolio</li> </ul> <p>Risk Register Ref: BS'4</p>	<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><b>Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Undertake inspections re: electricity, legionella, boilers etc., &amp; condition surveys.</li> <li>Specific project to address CDM as applying to building works at RBWM schools (see key Children's Services Risk ref: CS7 for additional detail): Provide assistance to Health and Safety team's training sessions to RPBS's (Responsible Persons for Building Health &amp; Safety) and appointed Deputy RPBS's for CDM and any others who are responsible for operating CDM policy and tools.</li> <li>Building Services staff received CDM training &amp; issued &amp; familiar with RBWM's Interim Schools CDM Policy &amp; other relevant premises related H&amp;S policies.</li> <li>Business &amp; health and safety risk assessment carried out via the LEA Liabilities Group.</li> <li>LEA Liabilities Group to ensure outstanding control measures are agreed and put in place e.g. vetting of contractors, policy for non school areas, monitoring &amp; control of contractors' arrangements etc.</li> </ol> <p><b>Current Status of Treatment Measures</b></p> <ol style="list-style-type: none"> <li>Ongoing condition surveys &amp; inspections as required</li> <li>Five sessions held September – December 2008 although these were predominantly for school RPBS's. A further CDM training session was held on 11th June, with plans for more in October/November.</li> <li>Building Services staff received external CDM training &amp; given Interim Schools CDM Policy 2008.</li> <li>Completed June 2008. Review ongoing for non-school areas.</li> <li>Ongoing</li> </ol>	<p><b>Uncontrolled Score: HIGH</b> Financial: Major/Very likely Legislation: Major/Very likely Reputation: Catastrophic/very likely Service Delivery: Catastrophic/very likely</p> <p><b>Current Score: MEDIUM</b> Financial: Major/Unlikely Legislation: Major/Unlikely Reputation: Major/Unlikely Service Delivery: Moderate/unlikely</p> <p><b>Controlled Score: LOW</b> Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Rob Packham, Building Services Manager</p> <p>Cllr Mrs Alison Knight and Cllr Mrs Eileen Quick</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 24<sup>th</sup> June 2009</p> <p>Date of last Member review: 14<sup>th</sup> April 2009 (Cllr Mrs Quick) 6<sup>th</sup> May 2009 (Cllr Hilton from Property portfolio responsibility) 3<sup>rd</sup> September 2009 (Cllr Mrs Knight)</p> <p>Member comments (Cllr Mrs Quick), "I will contact Rob Packham regarding the building Key Risks" to arrange a review."</p> <p>(Cllr Hilton), "Quite a specific risk that can be mitigated by training."</p> <p>(Cllr Mrs Knight). "I'm satisfied with the plans and have no further comment."</p>

	<p><b>New Treatment measures and Modifications following last review</b></p> <ol style="list-style-type: none"> <li>a. Issued interim policy based on RBWM Schools CDM policy to all Building Services staff.</li> <li>b. Building Services staff received external CDM training in Summer 2008</li> <li>c. Consider purchasing Wokingham BC's Approved Contractor list to ensure proper vetting of contractors.</li> <li>d. DLO reviewing CHAS<sup>vi</sup> scheme as an interim arrangement for vetting Contractors (no budget implications confirmed by Building Services Manager)</li> <li>e. Designate an Officer as suitable link for obtaining vetting mechanism since the list will need to apply to all Contractor work, not exclusively Building Services.</li> <li>f. Whilst Building Services take the Client role for the entire Council, there is no CDM policy that applies to any separate work undertaken by other Service Areas e.g. Leisure, Highways, IT. The only policies that exist are for Building Services and Schools. Director of Environmental Services finalising Questionnaire to go out to non-school areas impacted by CDM in order to co-ordinate information required to finalise policy in this area and take any further action required.</li> <li>g. Review of reactive term maintenance includes interface with and modification of local Permit to Work arrangements.</li> </ol> <p><b>Performance Measures: Asset Management B/S</b></p> <ul style="list-style-type: none"> <li>• No indicators</li> </ul> <p><b>Performance Measures: Other</b></p> <ul style="list-style-type: none"> <li>• Compliance of Contractors. This is dependent on the Contractor vetting procedure in place. Once that is in place, compliance is either made or not made.</li> <li>• Number of RPBS's who have attended training. Out of 63 schools, 29 RPBS and 33 Deputies have attended CDM training (see also ENV4 item (d))</li> </ul>		
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## Current Key Environmental Services Operational Risks as at 30<sup>th</sup> September 2009

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- <sup>i</sup> Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.
- <sup>ii</sup> Food Standards Agency. An independent Government department set up by an Act of Parliament in 2000 to protect the public's health and consumer interests in relation to food.
- <sup>iii</sup> Health and Safety Executive. The HSE and local government are the enforcing authorities for the Health and Safety Commission who is responsible for health and safety regulation in the UK.
- <sup>iv</sup> Non decent homes contain a hazard likely to be injurious to health, lack modern facilities or have inadequate heating.
- <sup>v</sup> Biodegradable Municipal Waste
- <sup>vi</sup> Contractors Health and Safety Assessment Scheme. a non-commercial scheme available to suppliers (those who provide goods and services) and to organisations (buyers) looking for suitably competent suppliers