

REPORT TO AUDIT AND PERFORMANCE REVIEW PANEL

Title: **COUNCIL'S KEY RISKS UPDATE REPORT**

Date: **16th December 2009**

Member Reporting: **Councillor David Hilton**

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Wards Affected: **All Wards**

1. SUMMARY

- 1.1 This report makes Members aware of the Key Council Risks as at 2nd December 2009, in compliance with the requirements of good Corporate Governance.

2. RECOMMENDATION:

That the findings of this report on the Key Council Risks are noted.

What will be different for residents as a result of this decision?
Due to specific actions to identify and manage the Council's significant business risks with mitigations and controls in place as far as reasonably practicable, residents will benefit from the Council's improved operational stability and consistency, which will result in improved Customer satisfaction.

3. SUPPORTING INFORMATION

Background

- 3.1 Risk Management is a key element in the Council's governance arrangements and control environment.
- 3.2 The Corporate Risk Register records the risks that relate to the achievement of the Council's objectives. This tool is accessible to all Risk Owners who have various updating and viewing privileges, depending on their position in the Council hierarchy with regard to the management of the risk/s in question.
- 3.3 The purpose of the Risk Register is twofold:
- To highlight those risks that Directors identify as 'overarching' which require a corporate response. Some 'Directorate' risks can potentially be included in the Key Strategic Risk report, where it is felt that failure could seriously compromise the whole Council.
 - To highlight those risks specific to Operational activities of Service Areas within Directorates where failure carries High Risk impacts.

- 3.4 Strategic risks are those risks which need to be taken into account in judgements about the medium to long-term goals and objectives of the Council. These typically impact across the entire or significant portions of the organisation. Strategic risks are by their very nature best identified by those in the most senior positions, whose role entails policy and strategic decision-making.
- 3.5 A named Council Officer and a Lead Member own all key risks jointly to ensure sufficient priority and attention is given towards controls. Risk Owners have been apprised of the methodology used to determine these risks.
- 3.6 Lead Members are regularly notified of the Key Risks where they are named as Risk Owner. Lead Members are asked to confirm the date of their review of these risks with the Officer Risk Owner and those Officers are tasked with ensuring that any comments are agreed and reflected in the assessment of the risk captured on the appendices to this report.

Update to Risk Register Following Meeting of This Panel 17th September 2009

- 3.7 The Council's Risk Register contains the Council's Key Strategic and Operational risks. The reports detailing the Key Strategic and Directorate Operational Risks were presented to the previous meeting of the Panel held 17th September 2009.
- 3.8 These reports were subsequently reviewed by CMT, Directorate Management Teams and Lead Members as follows:

Directorate/Team	Most recent review date by Officers	Most recent review date by Lead Member
CMT (Key Strategic Risks)	09/11/09 (further review scheduled 02/12/09)	Various Lead Members - see Appendix A
Environmental Services	26/11/09	30/11/09 – Cllr Rayner 02/12/09 - Cllr Bicknell 02/12/09 – Cllr Mrs Knight
Children's Services	11/11/09	26/11/09 – Cllr Mrs Quick 02/12/09 – Cllr Mrs Knight
Adult & Community Services	30/11/09	30/11/09 - Cllr Dudley
Resources	30/11/09	04/09/09 – Cllr Kellaway
Planning and Development	09/11/09	New risks yet to be reviewed by Lead Members.

- 3.9 Only the Key Strategic Risks are included with this report as Appendix A. The Key Operational Risks are as circulated to Members of the Panel 17th September 2009. There are several amendments to note to these risks which are described in Appendix B.
- 3.10 In addition to reviewing the existing Key Strategic Risks represented in Appendix A, CMT created a suite of new risks in the Risk Register to reflect those risks arising from the objective of determining and setting the strategic approach for the Council's delivery of services. The intention is that this will further embed risk management as part of the Council's strategic operations. Where any of the risks therein meet the Key Risk criteria then they will be represented in the Key Strategic Risk Register.
- 3.11 The same approach to reviewing and, where appropriate, completing Service Area risk profiling as a result of the restructure will be taken to ensure the Risk Register is up to date. Each Service Area is allocated a Risk Priority Rating of between 1 and 4, where 1 represents low risk and 4 represents high risk. It should be noted that the number and/or quality of controls in place do not affect this Rating. The Rating is a measure to ensure that those service units deemed as inherently higher risk are closely monitored and reviewed.

Audit Board

- 3.12 The recently formed Audit Board contains within its Terms of Reference the following responsibilities:
- Annually consider the Risk Management Strategy to ensure that it is properly focussed.
 - Receive quarterly reports on the management of the key operational and strategic risks facing the Council and progress on the completion/review of the Corporate Risk Register to enable scrutiny and challenge.

This is expected to further embed the demonstrable management of risk as part of the Council's business.

4. OPTIONS AVAILABLE AND RISK ASSESSMENT

4.1 Options

	Option	Comments	Financial Implications
1.	Accept the findings of this updated report on the Council's Key Risks.	The Council must demonstrate that it complies with Regulations ¹ in relation to the publication of an Annual Governance Statement. One of its core principles is a requirement for the Council to demonstrate how it manages risk and ensure that it has a system of	Revenue Officer time in dealing with operation of Risk Management Strategy. Capital None

¹ Regulation 4(2) of the Accounts and Audit Regulations 2003, as amended by the Accounts and Audit (Amendment) (England) Regulations 2006.

	Option	Comments	Financial Implications
		controls that are key in mitigating those risks that may affect the achievement of the Council's objectives.	
2.	Accept the findings of this updated report on the Council's Key Risks with amendments.	This may expose the Authority to unnecessary risks by not having an adequate internal control framework leading to poor performance, poor outcomes for service users/citizens and a specific attributable negative impact on the Council's Comprehensive Performance Assessment / Corporate Area Assessment.	Revenue Inappropriate expenditure on aspects of business with uncontrolled risks attached to them. Capital None
3.	Reject the style of report on the Council's Key Risks.	The report structure has been arrived at after proper and suitable consultation with Members on the most appropriate amount of detail required. However, in order to make quarterly reports manageable in terms of paperwork, future reports will be on an exception basis.	Revenue None Capital None

4.2 Risk Assessment

- 4.2.1 If Risk Management is not made part of "business as usual" for Council officers, this is likely to lead to significant adverse impacts in terms of cost, reputation and service delivery. Failure to ensure good governance of partnerships by way of risk management can lead to decisions not being properly scrutinised, conflicts of interest, and poor management of key dependencies.
- 4.2.2 An absence of Member support for Risk Management would be viewed as disappointing by external auditors. The regular reporting structure and scrutiny process thus ought to provide a robust framework for managing risk.
- 4.2.3 There is the general risk that if the Council fails to make good use of the management of risk processes it is likely to lead to uncontrolled exposure to many high level strategic and operational risks. As Risk Management becomes a management competency, part of staff skills set and part of Council business as usual the regular reporting and assessment structure ought to provide a robust framework for managing risk.

5. CONSULTATIONS CARRIED OUT

- 5.1 Consultations have taken place with the Audit Commission, Audit and Performance Review Panel, Chief Executive's Management Team, Services Management Team, Audit and Review Unit and Heads of Service through Directorate Management Teams.
- 5.2 Significant parts of the Council's "Risk Managed" process guide for managers were included in the Alarm² national Risk Management process, which is now utilised by the majority of UK public sector bodies.

6. IMPLICATIONS

The following implications have been addressed where indicated below.

Financial	Legal	Human Rights Act	Planning	Sustainable Development	Diversity & Equality
None	None	N/A ⁵	N/A	N/A	N/A

Background Papers: None

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

Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners ⁱ
<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, EQIAⁱⁱ 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>f. HR support for managers in undertaking staff performance management and capability proceedings.</p> <p>Current Status of Treatment Measures</p> <p>a. Senior Managers' pay review implemented July 09. Working group for allowance review in place, programme in place for modelling. Market testing of additional benefit options completed. EQIA partially completed.</p> <p>b. Strategy drafted in October 2009</p> <p>c. Started in October 2009 and ongoing</p> <p>d. Appraisals inform PDPⁱⁱⁱ'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- started on June 2009 and ongoing</p> <p>f. Bite size for managers in managing performance</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Very Likely Legislation: Moderate/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> • Carol Naismith, Head of Human Resources • Councillor Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 27th November 2009</p> <p>Date of last Member review: 2nd December 2009. No comments beyond what is now captured.</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>including capability, redundancy and project management.</p> <p>New Treatment measures and Modifications following last review</p> <p>Performance Measures: HR B/S</p> <ul style="list-style-type: none"> • EF9 - Top 5% of earners that are women.^{iv} – on target • VFM10 - % of workforce made up of Agency staff – on target • VFM13 - Appointment rate - % of advertised posts appointed to – on target • Appraisal outcomes in Trent reported via scorecard from Jan 2010. <p>Performance Measures: Other</p> <ul style="list-style-type: none"> • Monitoring of staff turnover • Gender split 		
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Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR3. Business Continuity 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>i. Business Continuity Planning (BCP) Board created for monthly review on progress and chaired by Strategic Director of Environmental Services</p> <p>ii. "Battle Baton" Software to support BCP procured.</p> <p>iii. Council functions risk-profiled to identify "Must do Critical Services". 57 such functions identified.</p> <p>iv. All Council Contractors have been written to for status of their own BCP's.</p> <p>v. Reports to CMT on progress for "iii" and "iv" and their specific contents where appropriate.</p> <p>Current Status of Treatment Measures</p> <p>i. Ongoing Monthly</p> <p>ii. Final contract wording being sorted between Legal Services and Software Suppliers. Training for specified Officers undertaken in October 2009.</p> <p>iii. Complete.</p> <p>iv. 388 Contractors identified of which 38 are rated as "Business Critical" by Service Heads.</p> <p>v. Ongoing on a weekly basis.</p> <p>New Treatment measures and Modifications</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Catastrophic/Likely Reputation: Catastrophic/Very Likely Service Delivery: Major/Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Likely Reputation: Major/Unlikely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • David Perkins, Head of Operations • Councillor Rayner <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 2nd November 2009</p> <p>Date of last Member review: 2nd November 2009.</p> <p>Lead Member comments:</p> <ul style="list-style-type: none"> • Risk is reviewed monthly. • LM comments incorporated. • No major concerns. • Swine Flu update regularly discussed. • Winter Maintenance and flood response risks covered.

Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>following last review</p> <ul style="list-style-type: none"> i. Base data being entered onto Battle Baton system. ii. Key Portal users identified prioritised. <p>Performance Measures: Environment B/S No indicators</p> <p>Performance Measures: Other % of Critical Services with BCP Plans/Mitigation measures in place.</p>		
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Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR5. Failure to successfully plan and deliver 2012 Olympic and Paralympic Games in the form of:</p> <ol style="list-style-type: none"> 1. Main rowing 2. Flat water canoeing 3. Adaptive rowing 4. A compelling and identifiable “legacy”. <p>Risk Register Ref: OLYMPI’5</p>	<ol style="list-style-type: none"> a. Involvement with specific Strategic Sector Groups with various focuses to ensure direct management of key aspects. b. Undertake Risk Assessment of RBWM role. c. LOCOG^v to be adequately engaged to ensure their expectation on the hosting Local Authorities is clear. d. Seek Member and Senior Officer buy-in to specific resources necessary to achieve successful planning/delivery. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. Sector Groups aligned to national arrangements established with chairperson and co-ordinator leading on delivery of draft 2012 strategy desired focus and priority outcomes. SEEDA^{vi} are the lead stakeholder for planning and securing the best benefit of being Olympic hosts. <ul style="list-style-type: none"> • Groups contain (external) Chairs and (internal) co-ordinators. • Co-ordination Meeting June 2008 involving South East Olympic Co-ordinator to update Sector Group on the national picture e.g. branding, sponsorship tiers. 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. <ul style="list-style-type: none"> • Involve Visitor Manager and Windsor and 	<p>Uncontrolled Score: HIGH Financial: catastrophic/likely Legislation^{ix}: moderate/unlikely Reputation: catastrophic/likely Service Delivery: major/likely</p> <p>Current Score: MEDIUM Financial: Major/likely Legislation: Moderate/unlikely Reputation: Major/likely Service Delivery: Major/likely</p> <p>Controlled Score: LOW Financial: Major/Very unlikely Legislation: Minor/Very unlikely Reputation: Major/Very unlikely Service Delivery: Major/Very unlikely</p>	<ul style="list-style-type: none"> • David Oram, Strategic Director of Environmental Services <p>Cllr involvement: Cllr Simon Dudley</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 25th October 2009</p> <p>Date of last Member review: 6th November 2009. Comments and measures endorsed.</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>Maidenhead Town Managers for suitable spread of expertise.</p> <p>c. Ongoing</p> <p>d. ODA^{vii} will increase their resources to reflect scale of preparation and make expectations of the Local Authorities. Presently these are not well defined.</p> <ul style="list-style-type: none"> • The current proposal is for the Chief Exec's from the Local Authorities involved^{viii} to meet with ODA to ensure a joint focus and deliver opportunities with partners. • David Oram to meet with Cllr Dudley to ensure appropriate Elected Member involvement. <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • Specific actions to ensure (i) Highways, including meeting local with ODA director, (ii) Sports/Leisure infrastructure engagement from RBWM. Meetings with SEEDA and Govt Olympic Executive Attendance at meeting with Local Chamber. <p>Performance Measures</p> <ul style="list-style-type: none"> • No Local PI's or National Indicator Sets (NI's) yet specified 		
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<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. Regular monitoring of LAA targets and other relevant PIs through Ambition Groups and Community Partnership.</p> <p>e. Development of a governance protocol for Royal Borough Partnerships.</p> <p>Current Status of Treatment Measures</p> <ul style="list-style-type: none"> • Community Strategy currently being refreshed and due to go to Cabinet in January 2010 • LSP Partners continue to be extensively involved in policy setting including working toward joint programmes / initiatives. • Actions arising out of an internal audit of the Governance of Partnerships currently being implemented including the establishment of a partnerships register. • Internal Officer Group established to monitor and manage LAA PPG & achievement of LAA reward targets to 2010 <p>Performance Measures: None</p>	<p>Uncontrolled Score: HIGH Financial: Major/Very likely Legislation: Moderate/Likely Reputation: Major/Very likely Service Delivery: Major/Very likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • Harjit Hunjan, Community & Business Partnerships Manager • Councillor Mrs Bateson <p>Frequency of review: quarterly</p> <p>Date of last Officer review: 2nd November 2009</p> <p>Date of last Member review: 2nd November 2009, no comments</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<ul style="list-style-type: none"> KSR7 Projects fail to deliver planned benefits. <p>Risk Register Ref: POLPER0002</p>	<ul style="list-style-type: none"> a. Ensure named Officer is explicitly tasked for executing each task. b. Project management to ensure deadlines and other time boundaries that make sure things get done. c. Undertake analysis of SPRUCE to determine suitability for Council use. d. Performance Management accountable to close scrutiny e. 14 actions arising out of Overview and Scrutiny being put into place with Project Managers f. Project management training being sourced g. Further guidelines being produced for Project Managers regarding the reporting of projects re: risks, issues, state and budget. h. QA being sourced <p>Current Status of Treatment Measures a. – h. In place</p> <p>New Treatment measures and Modifications following last review Amended Treatment measure “c” Top 30 projects captured and managed on Work.Together with monthly review by Senior Management Team” to above.</p> <p>Performance Measures.</p> <ul style="list-style-type: none"> All projects being managed to timetable and where not, corrective action is being taken to address the overrun. 	<p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Moderate/Likely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Minor/Unlikely Service Delivery: Minor/Unlikely</p>	<ul style="list-style-type: none"> Andrew Elkington, Head of Policy and Performance Councillor Liam Maxwell <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 23rd October 2009</p> <p>Date of last Member review: 2nd November 2009, no comments</p>

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR9. (a) Loss of data or inadequate data security leads to delays and errors in business processes.</p> <p>(b) Inadequate data to inform business decisions/data quality insufficient to inform decisions.</p> <p>Risk Register Ref: BID0008</p>	<p>Treatment Measures</p> <ol style="list-style-type: none"> a. ICT perform backups to enable retrieval of systems data. Data is replicated daily to secondary data centre. b. All key critical documents retained as paper records. c. Secure data backup facility developed at Tinkers Lane premises. d. Move to encrypted memory sticks. e. CD/DVD burning restricted to Officers with Manager’s authorisation. f. Migration of all RBWM applications to run in a virtual environment. g. Bulk data shredding for confidential documents h. New policy to reduce risks from receipt of external data i. Protective Marking Assessment Tool j. Deployment of protective marking and secure data handling project k. Security of External Data policy <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> a. Undertaken daily b. Ongoing c. In place from 22/07/09 d. In place from 06/02/09. e. In place f. Completed 01/09/09 g. In place h. In place. Scheduled for review September 2009. 	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Major/Likely Reputation: Catastrophic/Likely Service Delivery: Major/Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Moderate/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: LOW Financial: Minor/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> • Keith Clark, Head of ICT) • Cllr Liam Maxwell <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th September 2009</p> <p>Date of last Member review: 6th May 2009</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>i. – k Complete and part of Security procedures available on Hyperwave</p> <p>New Treatment measures and Modifications following last review None</p> <p>Performance Measures: ICT B/S 3.8 - Security Management Risk Tracker – on target</p>		
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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR10. Economy operates outside Council's MTFP.</p> <p>Risk Register Ref: HOF'6</p>	<p>Treatment Measures</p> <ol style="list-style-type: none"> Respond to economic and emerging policy signals. Ensure sufficient revenue reserves to enable suitable action. Forward planning of budget <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Established as an annual Council process. Monthly monitoring of targeted income against actual income. This is part of the budget setting process and part of the Head of Finance's annual assessment of the need to retain reserves and ensure the Economic Contingency Reserve is sufficient. <p>Member comments: Current risks revolve around:</p> <ol style="list-style-type: none"> Low interest rates reducing revenues in short/medium term Erratic movements in inflation from abnormally high in September 2008 to abnormally low in September 2009. Current RPI inflation likely to move to +3% within months. Reductions in cost for next budget cycle critically dependent on successful staff re-organisation. Main current pressure on costs is coming from child safeguarding which is (largely) out of our control Ability to fund capital from asset sales is restricted by poor property market Central government grant is unknown factor from 2011 onwards due to end of three year cycle in 2010/11 and new Government being formed in May/June 2010. <p>Performance Measures: Other In development: a set of Performance Indicators to effectively measure the Impact and Likelihood of change</p>	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Minor/Unlikely Reputation: Major/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p>	<p>Andrew Brooker. Head of Finance, Cllr Richard Kellaway</p> <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th September 2009</p> <p>Date of last Member review: 30th November 2009</p>

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Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<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. The Financial Risk is around the state of the economy and ability of developers to fund some of the schemes / improvements.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Adoption of the “Vision for Maidenhead Town Centre” as the strategy for the town centre. Broadway Triangle Planning Brief Agree timescale for delivery of the Masterplan for the town centre Discuss and finalise Local Development Scheme with GOSE in order to provide firm basis for progressing with Town Centre Area Action Plan (AAP) <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Consultation 30/09 – 14/11/08. Cabinet approval obtained January 2009. Adopted in December 2008 and informing negotiations on that site. Now agreed by PRoM^x, with consultants DTZ/BDP leading. Project inception process began at PRoM meeting 16th March 2009. Progress on other areas including Public Realm Strategy, Traffic Model and Waterways Framework in accordance with project plan. Timetable for preparation of AAP to co-ordinate with programme for all planning 	<p>Uncontrolled Score: HIGH Financial: Catastrophic/Very Likely Legislation: Major/Very Likely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Catastrophic/Unlikely Legislation: Major/Unlikely Reputation: Major/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Moderate/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Unlikely</p>	<ul style="list-style-type: none"> Tim Slaney, Head of Planning and Development Cllr David Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 29th September 2009</p> <p>Date of last Member review: 29th September 2009, no comments beyond what is already captured</p>

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	<p>policy work submitted to Government for 'adoption'. Formal acceptance awaited but emailed response from regional office confirms acceptability of programme in principle.</p> <p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> • Met with Government regional officers 21st Aug 2009 to go through whole programme. Need for the Town Centre Action Plan in advance of the Core Strategy stressed again and new regional officer advised that he would formally sign off within two weeks. • External consultancy support used to progress redevelopment of Broadway Triangle site with developer's (ING). Formal programme for progress now being worked up ready to form a Planning Performance Agreement by end of September, outlining the project to ensure delivery of scheme within 5 years. • Commitment to Council's role evidenced through the Capital programme and capital provided toward Maidenhead Environmental Initiatives. <p>Performance Measures: Balanced Scorecards - Planning: 20 - Maidenhead Rejuvenation & PRoM working - on target Balanced Scorecards- Policy & Performance: 15 - External Funding attracted By Maidenhead Town Centre Partnership – on target 25 - Additional Businesses in Maidenhead</p>		
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Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>Town Centre actively engaged in Maidenhead Town Partnership – on target</p> <p>Performance Measures: Other</p> <ul style="list-style-type: none"> • Monthly meetings of project team (Programme Board) to precede meetings of PRoM who oversee works as a mini LSP for the Town Centre. Report to CMT in April 2009 on progress and Cabinet in August 2009. • Other officers with relevant detailed technical skills work on individual projects and invited to Project Board to report progress/seek advice or assistance as detailed project work progresses. 		
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Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR13. Failure to deliver socially inclusive services to all areas across the Royal Borough</p> <p>Risk Register Ref: DAE0003</p>	<p>Breach leads to Government intervention in the form of Equality and HR Commission.</p> <p>Involvement can result from random inspection or a complaint. Council obliged to provide assistance to Commission. Refusal to respond based on resources or rationale would lead to intervention, consequent wasted resources and potential reputation damage.</p> <p>Treatment Measures Undertake external health check of work in this area and implement the actions arising.</p> <p>Current Status of Treatment Measures The council has commissioned North Harbour Consulting (an established supplier in the Equality and Diversity field) to undertake a health check to assess whether we are doing everything that we should be doing to improve our work in this area.</p> <p>Starting mid-July 2009 North Harbour will be undertaking a desktop research exercise and also a number of interviews with representatives of each directorate to find out what the issues are, how well they think we are doing, what needs to be done in the future, and general views on the Council's Comprehensive Equality Policy, Equality Impact Assessment Process etc. They will be reporting back their findings in mid September 2009. A clear</p>	<p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p>Current Score: HIGH Financial: Moderate/Likely Legislation: Catastrophic /Likely Reputation: Major/Likely Service Delivery: Moderate/Unlikely</p> <p>Controlled Score: LOW Financial: Moderate/Very unlikely Legislation: Catastrophic/ Very unlikely Reputation: Major/Very Unlikely Service Delivery: Moderate/ Very unlikely</p>	<ul style="list-style-type: none"> • Andrew Elkington, Head of Policy and Performance • Councillor Liam Maxwell <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 23rd October 2009</p> <p>Date of last Member review: 2nd November 2009, no comments</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

	<p>development plan will be forthcoming from this work and will be progressed from this point</p> <p>Performance Measures. The Equality Standard has five levels, with 5 being outstanding. We are currently at Level 2 and it is our ambition to raise this to Level 3.</p>		
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Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR14 Failure to define and co-ordinate suitable strategies and delivery plans across the Borough</p> <p>Risk Register Ref: CMT0001</p>	<p>Treatment Measures</p> <p>a. Several key plans are in place. Strengthen MTFP/MTFS with focus on the long term and greater dovetailing with corporate strategy and service plans. Ensure Members are involved in the above.</p> <p>b. Local Transport Plan</p> <p>c. Local Development Framework (Local Plans)</p> <p>d. Production of corporate plan.</p> <p>e. CMT Standardisation and simplification of processes ought to drive this.</p> <p>f. Children and Young People Plan</p> <p>g. Adult Plan and Transforming Social Care</p> <p>Current Status of Treatment Measures</p> <p>a. In progress</p> <p>b. In progress</p> <p>c. In progress</p> <p>d. Corporate plan being produced and trialled during latter part of 2009/10</p> <p>e. In progress</p> <p>f. In progress</p> <p>g. In progress</p> <p>Performance Measures.</p> <p>Awaited</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Major/Likely Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Catastrophic/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Catastrophic/Unlikely</p>	<p>CMT:</p> <ul style="list-style-type: none"> • Andrew Brooker, Head of Finance • David Oram, Director of Environmental Services • Tim Slaney, Head of Planning and Development • Andrew Elkington, Head of Policy and Performance • Cllr David Burbage <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 2nd December 2009</p> <p>Date of last Member review: None, new risk from 2nd December 2009</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR15 Failure to Improve Services</p> <p>Risk Register ref: CMT0009</p>	<p>Failure to link and co-ordinate the various programmes/borough organisations and community partners re: families and young people, reduces effectiveness of response to residents, including Total Place^{xi}.</p> <p>Failure to effectively engage with third parties and miss opportunities for collaboration and cost savings.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Link to Health service programmes (Adult Services) Link to Health service and DCFS programmes (Children's Services) Take an overview of new government policy and signpost to relevant departments. Cross party meetings with Police and NHS Ensure Total Place is enshrined within Community Strategy <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> 25% complete – some work with PCT's undertaken 25% complete – links established with DCSF Estimated 15% towards Total Plan solutions Ongoing In place <p>Performance Measures. Awaited</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Catastrophic/likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p>	<p>CMT</p> <ul style="list-style-type: none"> Christabel Shawcross, Director of Adult and Community Services Cliff Turner, Director of Children's Services Andrew Elkington, Head of Policy and Performance Cllr Mrs Bateson <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 2nd December 2009</p> <p>Date of last Member review: None, new risk from 2nd December 2009</p>

Appendix A - Current Key Strategic Risks as at 2nd December 2009

Key Risk	Detail and Treatment Measures	Risk Assessment	Risk Owners
<p>KSR16 Failure to manage partnership relations</p> <p>Risk Register Ref: CMT0011</p>	<p>Failure to engage with health agenda priorities leads to a mismatch of services provided to residents.</p> <p>Treatment Measures</p> <ol style="list-style-type: none"> Build relationship with Health sector Build relationship with Police Build relationships with Voluntary orgs and 3rd sector a Voluntary Sector Compact. Build relationships with schools Build relationships with people and organisations that support children Take an overview of new government policy and signpost to relevant departments <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Progressing, 20% complete Progressing, 50% complete – Cross party meetings involving Police in place. Progressing well through Community Strategy. Refresh Voluntary Sector Compact^{xii} in New Year. Overall, estimated 65% complete. Ongoing, 60% complete. Use of School Travel Plans. 35% complete, mostly through use of Sports. Ongoing. <p>Performance Measures</p> <p>Awaited</p>	<p>Uncontrolled Score: HIGH Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Catastrophic/likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/likely</p> <p>Current Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p>	<p>CMT</p> <ul style="list-style-type: none"> Christabel Shawcross, Director of Adult and Community Services David Oram, Director of Environmental Services Andrew Elkington, Head of Policy and Performance Cllr Mrs Quick <p>Frequency of review: Quarterly</p> <p>Date of last Officer review: 2nd December 2009</p> <p>Date of last Member review: None, new risk from 2nd December 2009</p>

- ⁱ Risk Owner: an individual Officer and Member who is closely involved with the risk, is able to monitor the risk and has sufficient authority to initiate action if the risk becomes more serious.
- ⁱⁱ EQIA – Equality Impact Assessment
- ⁱⁱⁱ PDP – Personal Development Plans
- ^{iv} This is a PI set by the Audit Commission for all local authorities as an equality measure
- ^v The London Organising Committee of the Olympic and Paralympic Games is responsible for preparing and staging the 2012 Games.
- ^{vi} 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
- ^{vii} Olympic Delivery Authority - the single delivery body responsible for creating the infrastructure for the Olympic and Paralympic Games in London in 2012.
- ^{viii} RBWM, South Bucks District Council, Buckinghamshire County Council, Slough Borough Council
- ^{ix} Legislation in the form of the London Olympic Games and Paralympic Games Act 2006, Olympic Symbol etc. (Protection) Act 1995
- ^x 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.
- ^{xi} Total Place is an initiative that looks at how a 'whole area' approach to public services can lead to better services at less cost. It seeks to identify and avoid overlap and duplication between organisations
- ^{xii} Established in 1998, the Compact is an agreement between Government and the voluntary and community sector in England. It recognises shared values, principles and commitments and sets out guidelines for how both parties should work together.

Appendix B: Notes of amendments to Key Strategic and Operational Risks Reports since Audit and Performance Review Panel 17th September 2009

Key Strategic Risks	
Reference	Amendment
KSR1 Inadequate Retention and Recruitment of quality Staff and especially senior and specialist staff.	<ul style="list-style-type: none"> Improved HR Balanced Scorecard performance measures to specify "Appraisal outcomes in Trent reported via scorecard from Jan 2010."
KSR 2	<ul style="list-style-type: none"> Removed. This risk was "Securing commitment to change / change management failure, including lack of or inappropriate consultation with officers to necessitate change across the Council." Likelihood values (if the risk is left uncontrolled) reviewed and reduced to "Likely" from "Very likely" reducing the Uncontrolled Risk Score to Medium.
KSR 3 Business Continuity Planning failure.	<ul style="list-style-type: none"> Civil Contingency reaction element moved to Environmental Services Operational Risk Register to allow concentration on Business Continuity.
KSR5 Failure to successfully plan and deliver 2012 Olympic and Paralympic Games.	<ul style="list-style-type: none"> Risk Owner now David Oram, Director of Environmental Services rather than jointly with Ian Trenholm, Chief Executive
KSR6 Failure to manage Partnership working.	<ul style="list-style-type: none"> Added new Treatment measures: <ul style="list-style-type: none"> Regular monitoring of LAA targets and other relevant PI's through Ambition Groups and Community Partnership. Community Strategy currently being refreshed and due to go to Cabinet in January 2010 Partnerships Register to be established
KSR7 Projects fail to deliver planned benefits.	<ul style="list-style-type: none"> Description of risk changed from "Failure to adopt consistent and effective Project Management" to "Projects fail to deliver planned benefits"
KSR9 (a) Loss of data or inadequate data security. (b) Inadequate data to inform business decisions	<ul style="list-style-type: none"> This risk previously referred only to data security. It now includes data adequacy.
KSR10 Economy operates outside Council's MTFP.	<ul style="list-style-type: none"> Changed definition from "Fall in economic vitality" to "Economy operates outside Council's Medium Term Financial Plan" and moved the service area impacts and treatment measures to the respective Directorates and their Key Operational Risk Registers.

KSR11	<ul style="list-style-type: none"> Removed. This risk was “No Customer Management Strategy will lead to uncoordinated customer experience and service provision.” Likelihood values (if the risk is left uncontrolled) were reviewed and reduced to “Likely” from “Very likely” reducing the Uncontrolled Risk Score to Medium.
KSR12 Failure to deliver Maidenhead Regeneration Programme on time and/or on budget.	<p>New Treatment measures and Modifications following last review</p> <ul style="list-style-type: none"> Met with Government regional officers 21st Aug 2009 to go through whole programme. Need for the Town Centre Action Plan in advance of the Core Strategy stressed again and new regional officer advised that he would formally sign off within two weeks. External consultancy support used to progress redevelopment of Broadway Triangle site with developer’s (ING). Formal programme for progress now being worked up ready to form a Planning Performance Agreement by end of September, outlining the project to ensure delivery of scheme within 5 years. Commitment to Council’s role evidenced through the Capital programme and capital provided toward Maidenhead Environmental Initiatives.
KSR13 Failure to deliver socially inclusive services.	<ul style="list-style-type: none"> Amended Risk description from “Breach of equalities legislation / duties placed upon local authorities” to “Failure to deliver socially inclusive services to all areas across the Royal Borough”.
KSR14	<ul style="list-style-type: none"> New Risk: Failure to define and co-ordinate suitable strategies and delivery plans across the Borough
KSR15	<ul style="list-style-type: none"> New Risk: Failure to link and co-ordinate the various programmes/borough organisations and community partners re: families and young people, reduces effectiveness of response to residents, including Total Place.
KSR16	<ul style="list-style-type: none"> New Risk: Failure to engage with health agenda priorities leads to a mismatch of services provided to residents.

Environmental Services	
Reference	Amendment
ENV1 Highways Drainage (Impact of flooding)	<ul style="list-style-type: none"> • Updated status of all existing Treatment Measures. • New Treatment Measures: Implementation of Floods and Water Management Bill. Cabinet report approved. Bids submitted for Surface Water Management Plan and schemes under the “Quick Wins” initiative. • Improved detail of Performance Measures to specify exactly which parts of the Capital Programme are involved.
ENV2 Failure to maintain roadsurfacing and streetscene.	<ul style="list-style-type: none"> • Added Windsor & Eton Relief road as a specific major project to the overarching Highways maintenance risk.
ENV6 Failure to secure waste disposal facility.	<ul style="list-style-type: none"> • Added new treatment measures: <ul style="list-style-type: none"> ○ Ensure Contractor has business continuity arrangements in place. ○ Report to Overview and Scrutiny on Procurement monitoring. ○ RecycleBank pilot scheme. Phase 1 launched, Phase 2 commenced 07/09/09 ○ Fortnightly Waste Project Board ○ Report to Overview and Scrutiny Panel at every key step
Children’s Services	
Reference	Amendment
CS1 Failure to follow correct safeguarding procedures leads to serious harm, injury or potential fatality to a child.	<ul style="list-style-type: none"> • Amended Treatment Measure “f” from “Investment in Advanced Skills Teachers (AST) standards to enable staff to provide detailed advice re: PE, Design and Technology issues” to “DMT agreement to buy in specialist advice.” • Removed reference to CSCI from current status of treatment measure “b - Recent Child Protection inspections from Ofsted and the Audit Commission have all confirmed safe practices are in place at RBWM” and added details of October 2009 Audit of designated Child Protection teachers and governors • Treatment measure “g” amended to “New training being piloted in January 2010.” • New treatment measure: “Ensure that there are sufficient social workers to keep caseloads manageable and reduce reliance on agency social workers”. See report for further detail.
CS2 Failure to address maintenance problems in schools	<ul style="list-style-type: none"> • Updated Treatment Measure “f” to “The Council has recently purchased the Technology Forge system which has a module that will enable schools to cost and monitor projects.”
CS3 Failure to raise the achievement levels of pupils at the lower end of the performance level	<ul style="list-style-type: none"> • Extended Treatment Measures: <ul style="list-style-type: none"> ○ “a” to “Fully staffed Education and Childcare Advisory Service with Senior Advisor for Secondary Schools. New Youth Strategy includes targeted support for vulnerable young people, Positive work with Connexions, including a Jobs Clinic in Windsor to assist young people “Not in Employment, Education or Training” (NEET).” ○ “c” to “DCSF “Gaining Ground” funding granted, which can now be accessed by four secondary schools.”
CS4 Failure to complete Extended Schools	<ul style="list-style-type: none"> • Specified the number of schools meeting core offer in Performance Measures.

Programme.	
CS5 Failure to complete four designated Childrens' Centres	<ul style="list-style-type: none"> • Changed deadline in description from 31st March 2010 to 31st March 2011. • Added two new Treatment Measures: <ul style="list-style-type: none"> ○ Planning consent obtained for one of the required sites. Ongoing dialogue with the Environment Agency re: Datchet Site. ○ Carry over of DCSF capital funding to 2010/11.
CS6 Failure to improve and utilise Youth Service	<ul style="list-style-type: none"> • Added one new Treatment Measure: "Additional opening hours in Youth Centres. Additional sessions introduced and further planning is ongoing."
Adult and Community Services	
Reference	Amendment
AC1 Failure to properly staff Residential Care Homes.	<ul style="list-style-type: none"> • Added "(Increase and improve awareness of) H1H1 vaccinations" to control measures. • Revised Performance Measures: <ul style="list-style-type: none"> ○ NI136 – people supported to live independently through social services (all ages). ○ NI145 – adults with learning disabilities in settled accommodation.
AC2 Failure to arrange safe and speedy discharge of people from hospital.	<ul style="list-style-type: none"> • New treatment measure "Introduction of weekly delayed discharged meeting." • Revised Performance Measures: <ul style="list-style-type: none"> ○ NI131- delayed transfers of care from hospitals. ○ NI132 – timeliness of social care assessment. ○ NI133 – timeliness of social care packages.
AC3 Failure to provide Day Care services for people with a Learning Disability and Older People.	<ul style="list-style-type: none"> • Revised Performance Measures <ul style="list-style-type: none"> ○ NI124 – people with a long term condition supported to be independent and in control of their condition. ○ NI131 – delayed transfers of care from hospitals. ○ NI135 – carers receiving needs assessment or review and a specific carer's service or advice and information.
AC4 Failure of In-House Home Care service causes significant harm or mortal danger to a client.	<ul style="list-style-type: none"> • Current score revised to "Low" from "Medium" following complete implementation of Treatment Measures. • Revised Performance Measures: <ul style="list-style-type: none"> ○ NI125 – achieving independence for older people through rehabilitation/intermediate care. ○ NI131 - delayed transfers of care from hospitals. ○ NI133 – timeliness of social care packages.
AC5 Failure of domiciliary care service from external providers.	<p>Modification since last review:</p> <ul style="list-style-type: none"> • Careforce continue to present problems, in particular in relation to their management arrangements which impacts upon capacity. Agreement has now been reached to offer capacity in the Zone 4 where Careforce are the block contractor to other providers. • Revised Performance Measures <ul style="list-style-type: none"> ○ NI125 - achieving independence for older people through rehabilitation/intermediate care. ○ NI131 - delayed transfers of care from hospitals. ○ NI133 – timeliness of social care packages.
AC6 Incorrect processes followed by officers or incorrect client	<ul style="list-style-type: none"> • Amended detail of Risk to reflect recent implementation of Deprivation of Liberty Safeguards and Mental Capacity Act 2005. • Revised Performance Measures <ul style="list-style-type: none"> ○ NI132 – timeliness of social care assessment.

assessments made	<ul style="list-style-type: none"><li data-bbox="571 91 1495 165">○ NI135 – carers receiving needs assessment or review and a specific carer's service or advice and information.
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<p>AC7 Non-availability of Intermediate Care Service.</p>	<ul style="list-style-type: none"> • Revised Performance Measures <ul style="list-style-type: none"> ○ NI124 – people with a long term condition supported to be independent and in control of their condition. ○ NI125 – achieving independence for older people through rehabilitation/intermediate care. ○ NI132 – timeliness of social care assessments.
<p>AC8 Failure to provide Housing Options Service and react to economic signals.</p>	<ul style="list-style-type: none"> • Added further comment to Improvement Measure “d” re: creation of additional post: Will look to economic contingency reserve should there be any identified increase in homelessness.
<p>AC9 Failure of Emergency duty team</p>	<ul style="list-style-type: none"> • Added new treatment Measure: Allow EDT to access PARIS system. Being put in place January 2010.
<p>AC11 Failure to make substantial progress towards Transforming Social Care Agenda</p>	<ul style="list-style-type: none"> • Revised Performance measures: <ul style="list-style-type: none"> ○ NI130 – social care clients receiving self directed support. ○ % of total Adult Client base in receipt of a personal budget by 2011.
<p>AC13</p>	<p>New risk: Economic downturn causes reduction in expected business reducing revenue from discretionary spending in Leisure facilities and Libraries.</p> <p>Treatment Measures – Leisure Services (reviewed by Head of Leisure Services 02/11/09)</p> <ul style="list-style-type: none"> • Managers are monitoring income on a weekly basis. Where demand for activities is falling action is taken to reduce costs and losses. • Advertising targeted at products showing signs of growth i.e. gym membership, birthday party bookings, children’s coaching courses. • Staff shifts have been amended where possible and savings ideas have been submitted to BSG for year 2010-11. • Tight controls remain on expenditure and managers remain confident that bottom line will be met this year <p>Treatment Measures – Libraries (reviewed by Head of Library Information Heritage and Arts 26/10/09)</p> <ul style="list-style-type: none"> • Libraries are doing reasonably well in terms of income against target, considering the reduction in discretionary spend that might be expected/is being reported in some areas. We are below target for the half year by just under £3K or just under 1.5% based on a flat profile. • 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”. • Reductions in spending elsewhere are expected to balance the small anticipated income shortfall and it is expected that the bottom line will be met this year <p>Uncontrolled Score: HIGH Financial: Catastrophic/Likely Legislation: Minor/Unlikely Reputation: Major/Likely</p>

	<p>Service Delivery: Catastrophic/Likely</p> <p>Current Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Major/Unlikely</p> <p>Controlled Score: MEDIUM Financial: Major/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/unlikely</p> <p>Lead Member: Cllr Kellaway</p>
Planning and Development	
Reference	Amendment
PD1	<p>New Risk: Failure to collect S.106 monies reduces Council ability to fund promised initiatives. S106 changes driven by Central Government (by 2010) leads to enforced changes in the current S106 SPD which could cease to be enforceable after Community Infrastructure Levy introduced by Government.</p> <p>Treatment Measures</p> <ul style="list-style-type: none"> • Migrate existing database to Agresso so there's one system being used to manage S106 Agreements income and expenditure. • Regular Project Board meetings held with all officers throughout the council who have an interest in updating the SPD¹ for S106. Annual reviews of SPD to Cabinet take place normally in September. • Work with accountants on improving the Financial Prioritisation Model to include check on appropriateness for S106 • Ensure responses to Government consultations on CIL² are responded to and go through the Cabinet process to be endorsed <p>Uncontrolled Score: HIGH Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Major/Very Likely</p> <p>Current Score: HIGH Financial: Major/Very Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Major/Very Likely</p> <p>Controlled Score: MEDIUM Financial: Major/Likely Legislation: Minor/Unlikely Reputation: Moderate/Likely Service Delivery: Major/Likely</p>

¹ Supplementary Planning Document

<p>PD2</p>	<p>New Risk: Failure to deliver planning services across the Borough in a sustainable and robust way that is clearly understood by residents and users of the service.</p> <p>Treatment measures</p> <ol style="list-style-type: none"> Dialogue with users and residents through Parish Forum, External Stakeholder meetings, “Around the Royal Borough” and other medium including the web. Part of web site recently reviewed and altered. Further work taking place Revising all standard letters to ‘plain English’ - our aims and what we can and cannot do. Regular meetings with GOSE and the Planning Inspectorate to ensure what we are doing is valid and likely to be acceptable when tested by the Planning Inspectorate. “Simpler” explanation of what we do and are trying to achieve at public such as Development Control Panels (the front face of Planning), Planning Customer Charter, and a ‘You Said / We Did’ exercise on the web. <p>Current Status of Treatment Measures</p> <ol style="list-style-type: none"> Ongoing and regular events planned. Rolling out letters this month and a programme of improvements tied up with “Lean” changes. Tension between corporate aim and Government regulations being addressed by direct relationship management with appropriate parties and use of the need for greater evidence ‘base’ to support our position Well received training sessions for Councillors and parishes taken place. Teams engaged with need for ‘resident first’ approach with technical expertise used to serve the residents within the bounds of the planning system. <p>Uncontrolled Score: HIGH Financial: Moderate/Likely Legislation: Moderate/Unlikely Reputation: Major/Very Likely Service Delivery: Major/Very Likely</p> <p>Current Score: MEDIUM Financial: Moderate/Unlikely Legislation: Minor/Unlikely Reputation: Moderate/Unlikely Service Delivery: Moderate/Likely</p> <p>Controlled Score: LOW Financial: Minor/Very Unlikely Legislation: Minor/Very Unlikely Reputation: Moderate/Very Unlikely Service Delivery: Minor/Very Unlikely</p> <p>Lead Member: Cllr Mrs Knight</p>
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