

AUDIT AND GOVERNANCE COMMITTEE

THURSDAY, 21ST OCTOBER, 2021

At 7.00 pm

In the

GREY ROOMS - YORK HOUSE, WINDSOR AND ON [RBWM YOUTUBE](#)

SUPPLEMENTARY AGENDA

PART I

<u>ITEM</u>	<u>SUBJECT</u>	<u>PAGE NO</u>
5.	<u>KEY RISK REPORT</u> To consider the report.	3 - 18

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Report Title:	RBWM Risk Management Report
Contains Confidential or Exempt Information	No - Part I
Cabinet Member:	Councillor Hilton, Cabinet Member for Finance and Ascot
Meeting and Date:	Audit and Governance Committee - 21 October 2021
Responsible Officer(s):	Adele Taylor, Executive Director of Resources and Section 151 Officer Andrew Vallance, Head of Finance and Deputy Section 151 Officer
Wards affected:	All



REPORT SUMMARY

1. This report sets out how satisfactory risk management is in place for RBWM as part of its governance arrangements. It includes the key strategic risks and how they are monitored and managed.

1. DETAILS OF RECOMMENDATION(S)

RECOMMENDATION: That the Audit and Governance Committee notes the report.

2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

Options

Table 1: Options arising from this report

Option	Comments
To note this report. This is the recommended option.	The Council is required to publish an annual governance statement in which a fundamental requirement is to demonstrate how it manages risk.
Not note this report. This is not recommended.	Without any risk management structure it is far more likely the Council will have insufficient awareness of risks and be exposed to the impact of unnecessary levels of risk.

- 2.1 Risk management is a governance process open to scrutiny from councillors and the public at RBWM's Audit and Governance Committee meetings.
- 2.2 Making sound use of risk management processes supports good strategy setting, operational performance and effective service delivery to residents.

- 2.3 The purpose of risk analysis is to help all decision-makers get a better understanding of a realistic array of possibilities, what drives the associated uncertainty and hence where efforts can be best concentrated to manage this uncertainty.
- 2.4 The corporate risk register records the risks relating to RBWM's strategic and operational objectives. The risk registers are appropriate at the point in time at which they are produced and require consideration to be given to a broad range of potential risks and outcomes. Anything that could inhibit the way in which such risks are expressed would weaken the quality of decision making when determining the most appropriate response to a risk.
- 2.5 Risks potentially carrying the most damaging impacts on our measurement scale are classified as key risks. However, the inclusion of risks within any level of risk register does not mean there is an immediate problem but instead it signifies that officers are aware of potential risks and have devised strategies for the implementation of any relevant mitigating controls.
- 2.6 Appendix A contains a current summary of the key strategic risks. These risks were last presented to Members at the meeting of the Audit and Governance Committee on 17 May 2021. Since that report two key risks have been removed and one added. Although the full articulation of the newly created climate change risk is not finalised the draft threat wording is included below in 2.6.1:
- 2.6.1 **Added: Climate change.** The impact of climate change may be captured under four key areas: (1) Physical resilience - migration of and adaptation to largely physical consequences of climate change, (2) Transition changes - migrations of greenhouse gas emissions, (3) Liability - actions initiated against decision making bodies from people who suffer injury/loss/damage arising from climate change, (4) Opportunities to take advantage of new technologies/techniques to stop/reduce harmful activities.
- 2.6.2 **Removed: Damage to local care and health outcomes.** RBWM is part of the Frimley Integrated Care System (ICS). There was a proposal to make ICS's coterminous with upper tier authorities. On that basis, Surrey CC and Hampshire CC indicated they wished relevant parts of their counties to be removed from Frimley. Removing parts of the system will render it unable to continue to operate. In that scenario, the East Berkshire authorities were likely to be moved into the Buckinghamshire, Oxfordshire and Berkshire ICS which is a poorly performing system and likely damage health outcomes and the care local people get. However heavy lobbying enabled us to keep our existing arrangements.
- 2.6.3 **Removed: Public sector exit payments (key operational risk).** The Government was set to implement its longstanding policy to limit public sector exit payments to £95k. After some debate, the Government has decided to hold back on putting this into practice, at least for the time being.
- 2.7 Members are notified of the key risks where they are named as the risk owner typically as part of a Member briefing. Officers are tasked with ensuring that any comments by Members are reflected in the assessment.

Risk reports are reviewed and debated by senior management which gives the opportunity for challenge and discussion. If any risks are of such low impact that

there is no good reason to continue including them in these discussions, then they are removed from the risk register. This is also a timely moment to incorporate any new risks into this governance structure.

3. KEY IMPLICATIONS

Table 2: Key Implications

Outcome	Unmet	Met	Exceeded	Significantly Exceeded	Date of delivery
Lead officers and Members are engaged in quarterly risk reviews of the risk register - the nature of the threat and the progress on mitigations.	Risks are left without officer or Member attention.	Quarterly reviews.	Risks are reviewed more frequently than quarterly.	None.	Ongoing by quarterly review.
Officers and Members make strategic, operational and investment decisions around projects with the risks in mind.	Risks are left without officer or Member attention.	Monthly reviews.	Risks are reviewed more frequently than monthly.	None.	Ongoing until conclusion as part of project management.

4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 There are no direct financial implications arising from this report. Risk owners need to consider any resource implications when devising their mitigation strategies.

5. LEGAL IMPLICATIONS

- 5.1 There are potential legal implications should a risk occur to the Council that is not prepared for. The purpose of risk management is to provide awareness of these so that management can make a risk based judgement.
- 5.2 The Council must comply with Regulation 6 (2) of the Accounts and Audit Regulations 2015 by publishing an Annual Governance Statement which demonstrates how it manages risk.

6. RISK MANAGEMENT

Table 3: Impact of risk and mitigation

Risk	Level of uncontrolled risk	Controls	Level of controlled risk
<p>The Council fails to make good use of risk management processes.</p> <p>Management and Members have insufficient awareness of those risks which carry the potential to severely damage the organisation and affect residents.</p> <p>Risk register ref: IRM0003</p>	HIGH	<ul style="list-style-type: none">• Risks are reviewed by risk owners, the senior management team and members.• The Audit and Governance Committee provides a mechanism for examination of the process.	LOW

7. POTENTIAL IMPACTS

- 7.1 Equalities. None directly although some risks may from time to time contain obligations in this area that need to be considered.
- 7.2 Climate change/sustainability. None directly although some risks may, from time to time, include associated obligations.
- 7.3 Data Protection/GDPR. None directly although some risks may, from time to time, involve related obligations.

8. CONSULTATION

- 8.1 This issue was last presented to the Audit and Governance Committee on 17th May 2021. Consultations have taken place with the previous Corporate Overview and Scrutiny Panel, Directors' Forum, Heads of Service, directorate management teams and the shared audit and investigation service.

9. APPENDICES

- 9.1 This report is supported by two appendices:

A – Risk heat map showing assessment of current key risk impact/likelihoods
B – Detail supporting the key strategic risk element of Appendix A.

10. CONSULTATION

Name of consultee	Post held	Date sent	Date returned
<i>Mandatory: Statutory Officers (or deputy)</i>			
Adele Taylor	Executive Director of Resources/S151 Officer	1/10/21	
Emma Duncan	Deputy Director of Law and Strategy / Monitoring Officer	11/10/21	
<i>Deputies:</i>			
Andrew Vallance	Head of Finance (Deputy S151 Officer)	1/10/21	11/10/21
Elaine Browne	Head of Law (Deputy Monitoring Officer)	11/10/21	
Karen Shepherd	Head of Governance (Deputy Monitoring Officer)	11/10/21	
<i>Other consultees:</i>			
<i>Directors (where relevant)</i>			
Duncan Sharkey	Chief Executive	11/10/21	
Andrew Durrant	Executive Director of Place	11/10/21	
Kevin McDaniel	Executive Director of Children's Services	11/10/21	
Hilary Hall	Executive Director of Adults, Health and Housing	11/10/21	

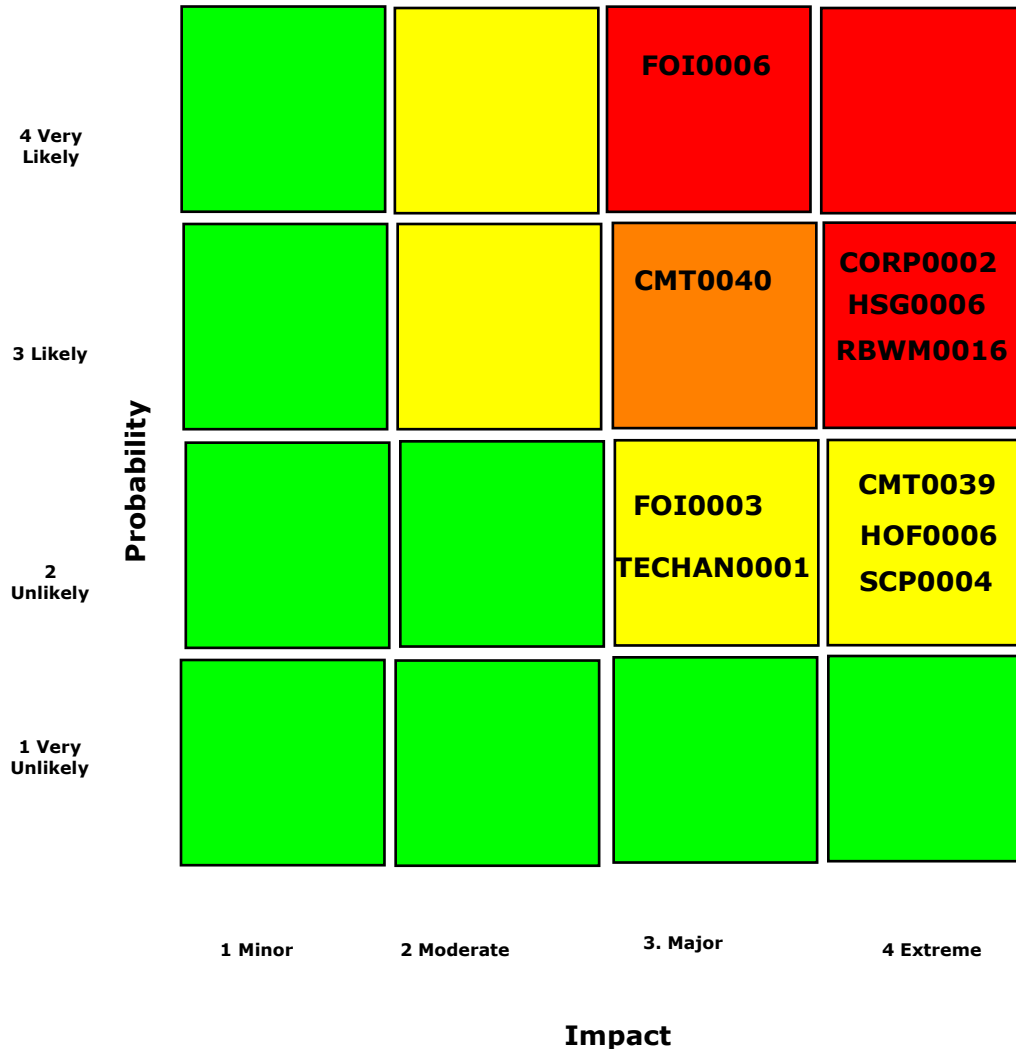
Confirmation relevant Cabinet Member(s) consulted	Cabinet Member for Finance and Ascot	Yes – sent to Cllr Hilton 11/10/21
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REPORT HISTORY

Decision type:	Urgency item?	To follow item?
For information	No	No

Report Author: Steve Mappley, Insurance and Risk Manager 01628 796202

Appendix A - Current key strategic risks



Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
12	CORP0002	Maidenhead regeneration 1. There is a risk that we do not get the capital receipts we are anticipating to fund the various schemes we are using borrowing to initially progress. 2. Changes in the economy, particularly influenced by Covid-19, could affect the benefits that can be realised e.g. a loss of consumer confidence and rising build costs would affect the financial viability of schemes and could result in stalled development. 3. Ensuring effective join up of sites and infrastructure delivery. Projects could be stalled, if land receipts are to be maintained, and economic recovery anticipated.	Prop Co MD	26/10/2021

Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
12	FOI0006	<p>Data Protection regulatory compliance</p> <p>Statutory breach arising from non-compliance with the Data Protection Act 2018 and the UK General Data Protection Regulation 2016 leads to reputation damage e.g. naming and shaming and fines potentially up to €20m (that level of fine is unlikely to be applied to a local authority although low 6 figure fines from the ICO in that regard have occurred) as well as legal action costs following judicial remedies.</p> <p>Where data is received from the EU/EEA and no adequacy status is granted by the European Commission by mid-2021, the UK will need to rely on standard contractual clauses or binding corporate rules in order to continue processing personal data received from the EU/EEA. This is the reason behind the current "high" rating assessment. Where adequacy status is granted to the UK, all data processing with the EU/EEA will continue as it did before EU withdrawal. Despite a trade deal being agreed, adequacy status is not a given.</p> <p>Non-compliance can only be identified if a breach actually occurs. The type of information breach is key - only if significant harm is likely to arise from the breach are fines expected to be punitive.</p> <p>Regulators can also issue enforcement action in the form of temporary or permanent bans on processing.</p>	Karen Shepherd	26/10/2021
12	HSG0006	<p>Children's to adult's services transition</p> <p>1. Lack of early planning in children's services potentially leads to children and young people with high needs who will need to transition to adult services not being identified and their costs are not built into future planning/Medium Term Financial Strategy.</p> <p>2. Lack of a sufficient accommodation and supported employment offer locally leads to young people being placed out of borough in expensive placements leading to higher costs and loss of contact with their local communities.</p> <p>The potential cost of transitions in 2020-21 is £1.14M based on current placements in children's services and the likely cohort of children who may transition.</p>	Hilary Hall and Kevin McDaniel	14/10/2021
12	RBWM0016	<p>COVID</p> <p>The novel coronavirus (COVID 19) outbreak was declared a Public Health Emergency of International Concern in January 2020 and a pandemic in March 2020. It presents a significant challenge for the country and local authorities.</p> <p>There is not a single area of local government that is not affected by the COVID 19 pandemic so a separate risk register details the works being done in this area.</p> <p>Note the current risk rating and appetite metrics will vary depending on the area of impact. Thus the values depicted here should be read with that in mind.</p> <p>The council's response to the COVID emergency is testament to the robustness of the Council's emergency planning.</p>	Hilary Hall/Kevin McDaniel/Stuart Lines/David Scott	
9	CMT0040	<p>Flooding response</p> <p>Insufficient local community resilience which could lead to residents being without the necessary assistance and increased financial impact on RBWM should a critical event occur.</p> <p>Underdeveloped and untested business continuity planning may reduce the ability of the council to provide critical functions in the event of emergency situation.. Covid has tested all sorts of BCP, and we have responded well to this pandemic emergency challenge..</p>	David Scott	01/11/2021

Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
8	CMT0039	<p>Security</p> <p>The UK is facing threats and not just from groups inspired by al Qaida e.g, far right extremists, disenfranchised groups. There is the risk of security and community problems putting residents and visitors at risk of personal injury arising from the actions and behaviour of such groups, particularly in the area around Windsor. This is due to the high volume of visitors, the military and ceremonial links to the town centre and castle as well as being under the flight path.</p> <p>Clause 26 of the Counter Terrorism and Security Act requires LAs to establish panels (in RBWM's case, the Channel Panel) to assess the extent to which identified individuals are 'vulnerable to being drawn into terrorism'.</p>	David Scott	01/11/2021
8	HOF0006	<p>Effectiveness of the RBWM financial strategy</p> <p>Historically, the council's financial strategy has not been effective in dealing with pressures. The CIPFA action plan along with a robust MTFS and improved budget management (as detailed in the last two budgets) have stabilised matters. Addressing the impact of several years of low Council Tax bills is a concern. It is expected the council should soon be in a position to boost its reserves.</p> <p>Confidence level: highly dependent on progress on the COVID-19 pandemic. Timescale: as at spring 2021, our aim is that within 2-3 years the impact of our mitigations will result in sufficient resilience.</p>	Andrew Vallance	28/10/2021
8	SCP0004	<p>Failure of council owned companies or major contractors</p> <p>delivering statutory and discretionary services on behalf of the council fail and/or go out of business as a result of increased demand or poor performance.</p> <p>Leads to:</p> <ul style="list-style-type: none"> - Statutory services for children and adults not delivered. - Resident facing community services, such as highways or waste collection, not delivered. - Reputational damage to the council. - Potential risks to public health. - Vulnerable adults and children may be left more at risk. - Problems in maintaining the streetscene to a safe level leading to highways injuries/claims against the statutory highway authority. 	Hilary Hall/Andrew Durrant	21/11/2021
6	FOI0003	<p>Data security breach (a) Serious external security breaches, (b) data loss or damage to data caused by inadequate information security leads to delays and errors in business processes.</p>	Nikki Craig	15/10/2021
6	TECHAN0001	<p>IT infrastructure integrity</p> <p>If there is an IT infrastructure failure i.e. data storage infrastructure, systems access or total loss of council data centre then this could affect the ability of RBWM to function normally.</p> <p>Causes:</p> <p>External cyber threats e.g. distributed denial of service (DDOS) attacks. Loss/damage/denial of access to primary, secondary or hosted data centres. Accidental or deliberate loss of data or physical/logical failure to disk drive. Lapse of accreditation to Public Services Network. Physical or virtual server corruption or failure.</p> <p>This could lead to:</p> <ul style="list-style-type: none"> - increased costs of downtime in the event of insufficient back up - expensive emergency service to rectify at short notice. 	Nikki Craig	15/10/2021

Appendix B – detailed key strategic risks

Risk Ref	Headline	Implemented or ongoing controls	Assessment Appetite	Controls not fully developed	Changes made at last review	Owners
FOI0006 Data Protection	<p>Statutory breach arising from non-compliance with the Data Protection Act 2018 and the UK General Data Protection Regulation 2016 leads to reputation damage e.g. naming and shaming and fines potentially up to €20m (that level of fine is unlikely to be applied to a local authority although low 6 figure fines from the ICO in that regard have occurred) as well as legal action costs following judicial remedies.</p> <p>Where data is received from the EU/EEA and no adequacy status is granted by the European Commission by mid-2021, the UK will need to rely on standard contractual clauses or binding corporate rules in order to continue processing personal data received from the EU/EEA. This is the reason behind the current "high" rating assessment. Where adequacy status is granted to the UK, all data processing with the EU/EEA will continue as it did before EU withdrawal. Despite a trade deal being agreed, adequacy status is not a given.</p> <p>Non-compliance can only be identified if a breach actually occurs. The type of information breach is key - only if significant harm is likely to arise from the breach are fines expected to be punitive.</p> <p>Regulators can also issue enforcement action in the form of temporary or permanent bans on processing.</p> <p>Confidence level in accuracy of current risk assessment: medium.</p> <p>DPA requirements are:</p> <ol style="list-style-type: none"> 1. Process fairly and lawfully. 2. Use only for the purposes it was originally obtained. 3. Ensure it is adequate, relevant and not excessive for the purposes for which it's processed. 4. Ensure it's accurate and up to date. 5. Retain only for the time period required to meet the organisation's reasonable requirements. 6. Process in accordance with rights of data subjects. 7. Adopt appropriate technical and organisational measures against unauthorised or unlawful processing and against accidental loss, damage or destruction of data. <p>Where the UK sends data to a non-EEA country, UK GDPR rules apply and standard contractual clauses should be used.</p> <p>The UK GDPR took effect from 1 January 2021. This is, in essence, the UK version of the existing EU GDPR which continues to apply to the rest of the European Union and has been modified to reflect the UK-specific context.</p>	<ol style="list-style-type: none"> 1. Update and keep maintained the corporate register of processing activities as per article 30 of GDPR. 2. Services are responsible for ensuring their own policies align to the UK Data Protection Act 2018 and the UK GDPR. 3. Reviewed information assets. Continuing development of the information asset register and updating entries by info asset owners 4. Officers required to undertake annual GDPR online training. 5. SIRO and DPO attended a one day SIRO training course 05/02/2020. 6. Online form to enable staff to easily and quickly report data security breaches. 7. Security induction and annual training procedure embedded in HR procedures and the appraisal process. 8. All RBWM-issued mobile devices are controlled by our mobile device management solution, Microsoft InTune. 9. Review all partnership agreements and determine the information sharing arrangements, updating as necessary. 10. Optalis and AfC data sharing and handling arrangements in place and part of contract management with major partners. 11. DPO and SIRO meet monthly to discuss any breaches and where necessary identify issues to be raised at CLT (by the SIRO). 	<p>12 High</p> <p>6 - Medium Low</p>	<ol style="list-style-type: none"> 1. Service areas arrange to update processor/controller contracts with SCCs/BCRs before 6/21 should EU not grant adequacy status. 2. Services to ensure they have complete registers of their held data at Iron Mountain guided by applicable retention schedule. 3. Establish with SIRO how the file categorisation at Iron Mountain can be improved so that data is not held unnecessarily. 4. Improved Member online GDPR training (over 90%). Mandatory with reminders sent and completion details sent to Group leaders. 5. Further develop service's privacy notices to ensure uniformity. 	<p>Reviewed by KS. No major changes beyond improved Member training.</p>	<p>Cllr Rayner</p> <p>Karen Shepherd</p>

12. Services are responsible for complying with applicable statutory retention timescales in their information asset registers.
13. GDPR - data protection risk overview reviewed monthly by DPO and SIRO. The contents are aligned to GDPR Articles and RAG rated.
14. Reporting of any partner org data breaches is a regular reporting item to the monthly operational commissioning board meetings.
15. Appointed a data protection officer (DPO) plus deputy to support. Updated DP Policy to include DPO as a mandatory role.

HSG0006 Inadequate strategic planning between children's services, adults and health.

1. Lack of early planning in children's services potentially leads to children and young people with high needs who will need to transition to adult services not being identified and their costs are not built into future planning/Medium Term Financial Strategy.

2. Lack of a sufficient accommodation and supported employment offer locally leads to young people being placed out of borough in expensive placements leading to higher costs and loss of contact with their local communities.

The potential cost of transitions in 2020-21 is £1.14M based on current placements in children's services and the likely cohort of children who may transition.

The Children and Health Care Act 2014 contains requirement for education, health and care plans for 16-25 year olds.

Inadequate cost effective placements along with the council being able to manage the expectations of children and young people, families, users of self directed support and personal budgets may compound this situation. There is likely to be a cohort of children who won't receive a comparable service in adulthood because their needs aren't eligible for any adult care service.

A key team is the CTPLD (community team for people with a learning disability). There is a small cohort of young people with psychological difficulties coming through. Their needs can change massively in adolescence and around the end of their association with children's services. It's important that all children have sufficient preparation for

1. Transitions action plan and strategy in line with NDTi recommendations agreed.
2. Plan and manage transitions by good operational working between adults and children's services.
3. Implementation of robust management controls in Optalis to manage funding packages and spend through weekly panel.
4. Increase collaborative working in East Berks. Supportive care pathway tiers defined primarily on customer risk and need.
5. Children's services to plan for the young people transferring so high cost issues are known a number of years ahead of t/f date.
6. Allocated transitions worker based in CTPLD (arises from IMR transitions case action plan) and adult social worker in CYPDS.

12
High

6 - Medium
Low

1. Transitions transformation prog. implemented from Sept 20 for local offer of accommodation & supported employment (Apr 22).
2. Transitions transformation programme implemented from September 2020 to improve joint processes (implement September 2021)
3. Transitions transformation programme implemented from September 2020 to improve planning and joint working (implement Sept 21).

Joint process changes to be implemented during Q3 of 2021.

Cllr Carroll
Hilary Hall and
Kevin McDaniel

RBWM0016 Covid 19 response

The novel coronavirus (COVID 19) outbreak was declared a Public Health Emergency of International Concern in January 2020 and a pandemic in March 2020. It presents a significant challenge for the country and local authorities.

There is not a single area of local government that is not affected by the COVID 19 pandemic so a separate risk register details the works being done in this area.

Note: the current risk rating and appetite metrics will vary depending on the area of impact. Thus the values depicted here should be read with that in mind.

The council's response to the COVID emergency is testament to the robustness of the Council's emergency planning.

1. RBWM Outbreak Control Plan.

12
High

1. There is an extensive risk register in support of the controls and detailed threats (contents deemed a Part 2 reporting matter).

David Scott
Hilary Hall
Kevin McDaniel
+
Stuart Lines
(Director of
public health,
Bracknell
Forest BC)

8 - Medium

CONF0021. Maidenhead regeneration programme fails to deliver expected benefits.

1. There is a risk that we do not get the capital receipts we are anticipating to fund the various schemes we are using borrowing to initially progress.
2. Changes in the economy, particularly influenced by Covid-19, could affect the benefits that can be realised e.g. a loss of consumer confidence and rising build costs would affect the financial viability of schemes and could result in stalled development.
3. Ensuring effective join up of sites and infrastructure delivery. Projects could be stalled, if land receipts are to be maintained, and economic recovery anticipated.

1. Summary details of the Prop Co's risk register go into a half yearly update to cabinet on their performance.

12
High

None

Reviewed by Barbara Richardson 26/07/21 - no changes.

Cllr Johnson

2. Prop co's risk register is specific to all risk associated with regeneration and capital development programme projects.

8 - Medium

3. Risk of build cost inflation/market value decreases is born by the JV Development Partner and fixed at Pre-Construction stage.

4. Prop co risk register reviewed quarterly by its board and shared with RBWM's risk manager.

Ian Brazier-Dubber will be the new Managing Director at the RBWM Property Company

CMT0040 Fail to protect residents should an emergency incident occur

Insufficient local community resilience which could lead to residents being without the necessary assistance and increased financial impact on RBWM should a critical event occur.

Underdeveloped and untested business continuity planning may reduce the ability of the council to provide critical functions in the event of emergency situation.. Covid has tested all sorts of BCP, and we have responded well to this pandemic emergency challenge..

There is also the impact on RBWM from failures in our links with external networks and supply chains e.g. impact of local or global political unrest, any failure in the integrity for gas/electric/other utilities on which the council relies esp. re: vulnerable people

1. Improve pool of EP silver or gold leaders.

2. The last review at CLT of BCP was 23 September 2020

3. Inter authority agreement in relation to JEPUs in place (RBWM, WBDC and BFBC) to provide resilience with experts in the field.

4. Waste suppliers have confirmed their processes and arrangements in the event of severe weather.

5. Ensure sufficient resilience for IT systems/back ups in emergencies for the 24/7 control room or EOC.

6. Residential care homes have temporary alternative accommodation plans for vulnerable adults for use in emergency situations.

7. The need for contractors to have BCPs in place is part of the commissioning and contracting process (but no testing process).

8. The new generator at Tinkers Lane is extended to provide wider back up to support greater emergency use of the depot.

9
Medium/High

6 - Medium
Low

1. Progress an action plan for improving resilience by way of developing training plans on a regular routine way based on risk.

2. Service BCPs continuing development. Original timeline disrupted by pandemic but this proved helpful to stress test the BCPs.

3. Develop an action plan to get our emergency response back into business as usual.

4. An effective means of testing plans is being put in place including, where possible, our key contractors.

5. Training package to upskill those responsible in services to undertake the work, including CLT, commencing 20/21.

6. Develop and support community based EPs in conjunction with parish councils working in propriety order with communities.

Reviewed by DVS 12/10/20 and controls updated.

Cllr Cannon
David Scott

SCP0004 Failure of service provision

Council owned companies or major contractors delivering statutory and discretionary services on behalf of the council fail and/or go out of business as a result of increased demand or poor performance.

Leads to:

- Statutory services for children and adults not delivered.
- Resident facing community services, such as highways or waste collection, not delivered.
- Reputational damage to the council.
- Potential risks to public health.
- Vulnerable adults and children may be left more at risk.
- Problems in maintaining the streetscene to a safe level leading to highways injuries/claims against the statutory highway authority.

1. Robust governance arrangements at Member and officer levels in place and operating.

2. Escalations, including financial penalties and "step in" procedures, in place for all contracts with clear triggers identified.

3. Identified contract managers in place.

4. Road categorisation project woven into HMMP.

5. Change control mechanisms in place across all contracts.

6. Tight contract monitoring - quarterly and monthly contract meetings.

7. Exit clauses/strategies negotiated and in place across all contracts.

8. Clear vision and business plans for all companies, aligned to the Council Plan.

9. Performance dashboard of key service and financial indicators - reviewed monthly and quarterly.

10. Published HMMP risk based as per 2018 Code of Practice to show our rationale in case of legal challenge.

8
Medium

None

4 - Low

Reviewed by AD 21/07/21.
Ongoing challenges with both waste and maintenance contracts increased current rating from low to medium. Note the ongoing controls have been bolstered and therefore this mitigates the

Cllr Coppinger
Cllr Carroll
Cllr Stimson
Cllr Clark and
Cllr Cannon

Hilary
Hall/Andrew
Durrant

HOF0006 Effectiveness of the council's financial strategy

Historically, the council's financial strategy has not been effective in dealing with pressures. The CIPFA action plan along with a robust MTFS and improved budget management (as detailed in the last two budgets) have stabilised matters. Addressing the impact of several years of low CTax bills is a concern. It is expected the council should soon be in a position to boost its reserves.

Confidence level: highly dependent on progress on the COVID-19 pandemic.

Timescale: as at spring 2021, our aim is that within 2-3 years the impact of our mitigations will result in sufficient resilience.

- COVID pressures;
- service pressures cannot be controlled or mitigated;
- reduction in income due to recession - fees/charges/interest/severe income disparity across the borough;
- savings plans not achieved;
- cost of demand led services rises significantly beyond expectation;
- reduced resilience for services meeting strategic challenges (for instance, demographic pressures;
- increased number of child referrals and child specific placements.

1. Robust MTFP in place. Approved by Cabinet 22/07/21. November Cabinet for draft 22/23 budget.

2. Director of resources' annual assessment of the need to retain reserves based on the key risk register financial exposures.

3. Budget manager bi-monthly forecasts proving effective and reported to cabinet alongside the finance adjusted forecast figure.

4. Finance management has a closely monitored corporate savings tracker noted monthly at CLT and reported bi monthly to Cabinet.

5. Implement and monitor the action plan on the outstanding issues arising from the CIPFA report, reported to corporate O&S panel.

6. Increased focus on monitoring debt recovery programme.

8
Medium

4 - Low

1. Continue to make improvements to budget build and review scope for business partner arrangements.

Reviewed by AV 28/07/21 - no changes.

Cllr Hilton

Andrew Vallance

16

CMT0039 Security

The UK is facing threats and not just from groups inspired by al Qaida e.g, far right extremists, disenfranchised groups. There is the risk of security and community problems putting residents and visitors at risk of personal injury arising from the actions and behaviour of such groups, particularly in the area around Windsor. This is due to the high volume of visitors, the military and ceremonial links to the town centre and castle as well as being under the flight path.

Clause 26 of the Counter Terrorism and Security Act requires LAs to establish panels (in RBWM's case, the Channel Panel) to assess the extent to which identified individuals are 'vulnerable to being drawn into terrorism'.

The council is at the heart of building a safe, secure and cohesive community. It has responsibilities as community representative and as local leader to help ensure public safety, to help people feel confident and get along well together, to protect the vulnerable and to limit harmful behaviours

A key part of the government's counter-terrorism strategy is called Prevent. It is a programme aimed at stopping more people getting drawn towards violent extremism.

1. Permanent, integrated hostile vehicle mitigation measures in Windsor to ensure the safety of residents, phase 1a complete.

2. Counter Terrorism Local Profile used to help inform and shape our local understanding of threat levels/risks and thus plans.

3. Evacuation plan for Windsor in place.

4. Community safety partnership strategy and action plan in place, updated annually.

5. Channel Panel and Prevent Delivery Board meet regularly and membership has been updated.

6. Update reports from DVS to the CLT on Channel arrangements and Prevent provided annually to the CLT.

8
Medium

None

8 - Medium

Reviewed by DVS 12/10/20. Controls updated incl. new national Guidance for how Channel operates being published in Nov 20

Cllr Cannon

David Scott

- 7. Close partnership working with police and military to share intelligence and ensure risks are reduced.
- 8. TOR for Channel Panel, (administered and chaired by DVS) who assess risk and decide on support packages, refreshed in 18/19.
- 9. RBWM works closely with the One Borough group to build and maintain public inter-faith confidence in preventing all extremism.

- 1. Multiple data centres provides increased resilience.
- 2. £900k investment in modern workplace project phase 1. Completed March 2020.
- 3. Line of business systems hosted either on local servers or on remote cloud-hosted servers.
- 4. Council networks are protected by multiple security layers using firewall and other control technologies.
- 5. Physical Infrastructure controls - access controls, remote access capability, environmental monitoring, generator and UPS.
- 6. DDOS protection in place.
- 7. Phase 2 of modern workplace project concluded
- 8. Disk drives are configured to use RAID technology.
- 9. Council external website is hosted internally in the Cloud (Dan Brookman is control owner).
- 10. Diverse routing of external network links supplied and supported by tier-one UK network suppliers.

6
Medium/Low

4 - Low

- 1. Business Continuity/Disaster Recovery. All services' IT usage is understood. Next steps in hands of the BCP shared service.
- 2. Network redesign and hardware replacement.

Reviewed by Nikki Craig and Simon Arthur 15/07/21. Added new control not fully developed on network redesign/hardware replacement.

Cllr Rayner
Nikki Craig

TECHAN0001 IT Infrastructure failure

If there is an IT infrastructure failure i.e. data storage infrastructure, systems access or total loss of council data centre then this could affect the ability of RBWM to function normally.

Details are within the IT risk register of which this is a summary.

Causes:
 External cyber threats e.g. distributed denial of service (DDOS) attacks.
 Loss/damage/denial of access to primary, secondary or hosted data centres.
 Accidental or deliberate loss of data or physical/logical failure to disk drive.
 Lapse of accreditation to Public Services Network.
 Physical or virtual server corruption or failure.

This could lead to:
 - increased costs of downtime in the event of insufficient back up
 - expensive emergency service to rectify at short notice.

FOI0003 IT security breach

(a) Serious external security breaches,
 (b) data loss or damage to data caused by inadequate information security leads to delays and errors in business processes.

1. Security awareness of officers and external service providers who use our IT.
2. Secure remote working with computers, encrypted area for sensitive laptop data.
3. Develop, publish and communicate information security policies.
4. Audit use of all Council laptops and obtain management authorisation for their use.
5. DPO/SIRO to check and take action when inappropriate external transmissions of data are reported.
6. Mandatory annual security induction and training procedure embedded in HR procedures and the appraisal process.
7. Disposal of confidential waste papers. Specific bins are in place to ensure such waste is locked and secure at all times.
8. All data security breaches are investigated. Intel shared with organisational development team to weave into future learning.
9. Exchange of data and information with other organisations. Policies, procedures and declarations available to increase security.
10. HR complete ICT change form when an employee leaves - triggers responses by system owners to close off access.
11. Implement a robust exit strategy with accountabilities when staff leave the organisation or return surplus IT equipment.

6
 Medium/Low

8 - Medium

1. Enhanced password policy to enforce industry best-practice.
2. Enable multi-factor authentication on Microsoft cloud services.

Reviewed 15/07/21 by Nikki Craig and Simon Arthur. Added the two listed undeveloped controls.

Cllr Rayner
 Nikki Craig