Appendix B - key strategic risk register

THE ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	Head of Adult Social Care and Health Partnerships		Date of next review	13/12/2015
Lead Director / Head of Services	Angela Morris		Audit Verification On 2014/15 audit plan.	
Lead Member	Cllr David Coppinger and Cllr Simon Dudley			

Risk Ref	ADULTS0041		**Uncontrolled**			**Current**			**Controlled**		
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	
Ensure the specific requirements of vulnerable adults are suitably catered for.		Extreme	Very Likely	16	Major	Unlikely	6	Moderate	Unlikely	4	

Nature of Risk - Demographic change

Adult social care demographic - growth in number of older people with disabilities, transitions from children's services and long term conditions leads to costs increasing beyond the capacity of council to fund and the inability to meet even critical needs in the long term. Less acute for the wealthier members of the populace.

Impacts range from changing best practices in urban planning to the effect on social norms around care-giving. At the moment, the drive is towards providing a "social" response rather than a "medical" response.

Focus remains on the last few years of an individual's life where increased intensive support is more likely to be necessary.

The NHS strategy of reducing hospital demand leads to fewer acute beds and hence more sick people supported in the community.

Performance Indicators

Risk appetite - low

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Strategic change of emphasis to demand management rather than service delivery.	1 - High	Implemented	100	3 months	Angela Morris	
Strategic commissioning to invest more in prevention and delay high level need.	1 - High	In Progress	80	3 months	Angela Morris	
Collaborative commissioning with NHS on intermediate care.	2 - Medium	Ongoing	100	6 months	Angela Morris	
The council inherited capacity from the public health transfer 01/04/13. This should allow more focus on reablement.	2 - Medium	Implemented	100	12 months	Angela Morris	
Explore shared services.	2 - Medium	In Progress	50	3 months	Angela Morris	
Transitions group to reshape resources to integrate any costs impact.	2 - Medium	In Progress	50	3 months	Angela Morris	

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Publishing Date	02/12/2015		Review Freq	1 months
Service Area	ICT - Support and R&D		Date of next review	18/12/2015
Lead Director / Head of Services	Rocco Labellarte		**Audit Verification**	
Lead Member	Cllr Hill		(4) Risk management processes and controls are weak for laptop security. Ref 39/11. Next audit due qtr 3 in 15/16.	

Risk Ref	BID0008		Uncontrolled			Current			Controlled		
Business Objective		**Impact**	**Probability**	**Rating**		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Ensure systems provide sufficient and robust data integrity and provide suitable management information for decisions. **Nature of Risk -** Data integrity and/or data security failure Threats arising from: (a) Data loss or damage to data caused by inadequate information security leads to delays and errors in business processes. (b) Serious external security breaches. In the event of a major security breach the council could incur significant financial penalties (up to £500,000) levied by the Information Commissioners Office. (c) Serious technical security breaches. The sophistication of cyber-attacks on the council's IT network is increasing and continuing vigilance is required. **Performance Indicators** Risk appetite - low All security breaches are investigated and action taken to avoid/reduce risk of repetition. This includes required management and disciplinary action.		Extreme	Very Likely	16		Major	Likely	9	Major	Unlikely	6
Council security policies and staff obligations are communicated in detail. Published targets for security refresher are monitored and management action taken to meet the targets. Staff security awareness and competence measured, and action taken where required. Every laptop is accounted for.											

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Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Secure remote working with computers, encrypted area for sensitive laptop data.	1 - High	In Progress	100	6 months	Dave Wright	
Upgrade RBWM firewall configuration to meet agreed government GSi security standard	1 - High	Implemented	100	12 months	John Tordoff	
Security awareness of officers and external service providers who use our IT. Gaps on induction and annual refreshing.	1 - High	In Progress	80	1 months	Peter Strode	
Disposal of confidential waste papers. Specific bins are in place to ensure such waste is locked and secure at all times.	2 - Medium	Implemented	100	12 months	Dean Graham	
Data Back-up procedures. Data is replicated daily to secondary data centre. Secure data backup facility at Tinkers Lane.	2 - Medium	Implemented	100	12 months	John Tordoff	
Security, information & data manager to analyse inappropriate transmissions of sensitive data and brief directors.	2 - Medium	Proposed	80	1 months	Peter Strode	
Audit use of all Council laptops and obtain management authorisation for their use.	2 - Medium	Implemented	100	24 months	Peter Strode	
All security breaches are investigated and action taken to avoid/reduce risk of repetition.	2 - Medium	Implemented	100	6 months	Peter Strode	
Government connect PSN code of connection submission and government security accreditation.	2 - Medium	Implemented	100	12 months	Peter Strode	
Use of portable computer media procedures protocols including CD/DVD burning and encrypted memory sticks.	2 - Medium	Implemented	100	0 months	Peter Strode	
Exchange of data and information with other organisations. Policies, procedures and declarations available to increase security.	2 - Medium	Implemented	100	12 months	Peter Strode	
Develop, publish and communicate information security policies.	2 - Medium	In Progress	85	3 months	Peter Strode	
Create a security policy agreement and testing proposal which can then be made part of inductions and the appraisal process.	2 - Medium	In Progress	80	3 months	Peter Strode	
Implement cloud IT strategy.	2 - Medium	In Progress	75	6 months	Rocco Labellarte	
Implement a robust exit strategy with accountabilities when staff leave the organisation or return surplus IT equipment..	3 - Low	In Progress	80	3 months	Peter Strode	
An operating framework for laptop asset control is defined in conjunction with the asset management application IT system.	3 - Low	Implemented	100	12 months	Rocco Labellarte	

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Publishing Date	02/12/2015		Review Freq	6 months
Service Area	CMT Risks		Date of next review	10/01/2016
Lead Director / Head of Services	Alison Alexander		**Audit Verification**	
Lead Member	Cllr Claire Stretton		(2) Risk management processes are good and controls are adequate although only partially effective. Ref 36/14 (management of partnership relations).	

Risk Ref	CMT0009	**Uncontrolled**			**Current**			**Controlled**		
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Determine and set the strategic approach for the Council's delivery of services.		Extreme	Likely	12	Major	Unlikely	6	Major	Unlikely	6

Nature of Risk - Failure to manage partnership relations

Failure to ensure transformation programme accommodates the needs of the various community partners.

Failure to effectively engage with third parties and miss opportunities for collaboration and cost savings.

Failure to engage with partners leads to a mismatch of services provided to residents.

Performance Indicators

Risk appetite - medium

Number of volunteers supporting council services

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Build relationships with people and organisations that support children - sports org'ns, use of youth forum, youth council.	2 - Medium	Ongoing	100	6 months	Ann Domeney	
Ensure the relationship with LEP is strong. Cllr Kellaway involved in this.	2 - Medium	Implemented	100	6 months	Chris Hilton	
Various partnership boards supporting different aspects arising from the public health agenda (adult services).	2 - Medium	Ongoing	100	6 months	To Be Advised	
Secure targeted numbers of volunteering resource, a critical part of Big Society and specifically the Adopt a Street scheme.	2 - Medium	Ongoing	100	12 months	Andrew Elkington	
Cabinet approved policy in place for CRTC and CRTB. The parish devolution agenda is ongoing.	2 - Medium	Implemented	100	12 months	Andrew Elkington	
Build relationship with fire service. Introduced a local fire station in Windsor to provide a first response to callouts.	2 - Medium	Implemented	100	0 months	Christabel Shawcross	
Building relationships and improved working with Housing Associations.	3 - Low	Ongoing	100	12 months	Christabel Shawcross	
Cross party meetings occur with the Police and NHS whenever specific issues arise.	3 - Low	Ongoing	100	12 months	Christabel Shawcross	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	15/12/2015
Lead Director / Head of Services	Andrew Brooker		**Audit Verification** Included in the 2014/15 – 2016/17 three year audit plan and down for review in 2015/16 audit year.	
Lead Member	Cllr Brimacombe			

Risk Ref	CMT0025		Uncontrolled			Current			Controlled		
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Determine and set the strategic approach for the Council's delivery of services. **Nature of Risk -** Insufficient staff resources/capacity		Extreme	Likely	12	Major	Unlikely	6	Major	Very Unlikely	3

That a coherent transformation programme fails to deliver efficiencies, improve service quality and manage organisational change in a controlled manner.

The need for fundamental transformation across the council raises the risk that management and staff at all levels will not be able to undertake the necessary transformation and change that will address the financial and demographic pressures faced due to a lack of capacity, capability and experience. A lack of enough time and sufficient skills to focus on innovation are a challenge.

Performance Indicators

Risk appetite - low

Executive level steering board to escalate strategic concerns.

Risk heat map to identify and target areas of concern

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Staff survey results - motivation, engagement - and action plan discussed and endorsed through the Employment Panel.	1 - High	Implemented	100	6 months	Andrew Brooker	
Transformation programme identifies and puts in place resources and project management requirements.	1 - High	In Progress	80	3 months	Andrew Brooker	
Ensure that an agreed transformation vision and programme is adopted and promoted, working towards defined council objectives.	1 - High	In Progress	90	3 months	Andrew Brooker	
Smarter working project.	1 - High	In Progress	75	3 months	Rocco Labellarte	
The governance and review of projects forms specific part of revised CMT remit within the Transformation Prog governance.	1 - High	Ongoing	100	12 months	Christabel Shawcross	
Create an organisational strategy of how to react to transformational change.	2 - Medium	Implemented	100	6 months	Andrew Brooker	
Transformation champions identified in each service area to promote and co-ordinate change activity.	2 - Medium	In Progress	90	6 months	Andrew Brooker	
Ensure everyone is aware of the CREATE winning behaviours and working to make sure they are part of everything we do.	2 - Medium	In Progress	85	12 months	Andrew Brooker	
New FSR process rolled out across all directorates to identify service improvements and service delivery options.	2 - Medium	In Progress	25	3 months	Simon Fletcher	
Complete consultation regarding transformation of children's services.	2 - Medium	Implemented	100	6 months	Alison Alexander	
Create, apply and embed model to improve management of change and its governance.	2 - Medium	Implemented	100	6 months	Rocco Labellarte	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	14/12/2015
Lead Director / Head of Services	Alison Alexander		**Audit Verification**	
Lead Member	Cllr David Burbage		2. Risk management processes are good and controls are adequate although only partially effective. ref: 28/14, 2014/15 audit plan.	

Risk Ref	CMT0036		**Uncontrolled**			**Current**			**Controlled**		
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Determine and set the strategic approach for the Council's delivery of services.		Extreme	Very Likely	16	Major	Likely	9	Major	Unlikely	6
Nature of Risk - Change management failure										
No overall strategic leadership for the council leads to insufficient forward thinking and hence resource focussing overwhelmingly on the short term.										
Performance Indicators										
Risk appetite - low/medium										

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Transformation board established.	1 - High	Implemented	100	6 months	CMT	
Cabinet/CMT to consider strategic priorities, orgn'l design and transformation plans. Agreed priorities to go to Cabinet.	1 - High	In Progress	75	3 months	CMT	
Review 5 yr strategy in 2015 to ensure validity. Increase member collaboration in formulation to identify strategic priorities.	1 - High	In Progress	25	4 months	CMT	
Session between director of corp services and leader on direction of travel. Transformation board established as first step.	1 - High	In Progress	75	1 months	Andrew Brooker	
Review structure, purpose and impact of the various management teams – CMT/DMT's and so forth	1 - High	Implemented	100	12 months	Alison Alexander	
Horizon scanning, scenario development and long term planning as distinct processes.	2 - Medium	Implemented	100	12 months	CMT	
MTFP reflects strategic position as part of budget.	2 - Medium	Implemented	100	6 months	Andrew Brooker	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	Head of Finance		Date of next review	21/12/2015
Lead Director / Head of Services	Andrew Brooker		**Audit Verification**	
Lead Member	Cllr Dudley		(2) - Risk management processes are good and controls are adequate although only partially effective (ref: 11/14, 2014/15 audit)	

Risk Ref	HOF0006		**Uncontrolled**			**Current**			**Controlled**		
Business Objective			Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Ensure MTFP is fit for purpose and recognises the role of the LEP. **Nature of Risk -** Economic climate RBWM may not be able to deal with any expenditure volatility because of a lack of a mid/long term strategy that successfully encompasses finance options/mitigations to match service demands and central government funding reduction i.e. MTFP fails. - service pressures cannot be controlled or mitigated; - income falls off due to recession - fees/charges/interest/severe income disparity across the borough; - savings plans not delivered; - high levels of inflation; - levels of grant support from central government falls below anticipated; - for adult services, predicting the level of demand and projecting if it could lead to an overspend; - increased number of child referrals after numerous high profile cases; - benefit changes e.g. universal credit; - impact of LEP and the risk of getting less funding from the new bidding approach. If we want to spend to the same level as previously, borrowing costs could increase; - reduced resilience for services meeting strategic challenges (for instance, demographic pressures). **Performance Indicators** Risk appetite - low Council retains a share of business rates in 2014/15 of £1M. Ctax collection rate 2015/16 is 99.5%, for Business Rates 98.6%. Benefits, target for speed of processing is 10 days.			Extreme	Likely	12	Extreme	Very Unlikely	4	Extreme	Very Unlikely	4

Monthly budget monitoring (finance partner) and monthly report to Cabinet.
Combined General Fund Reserves £7.279m in excess of the £5.43m recommended minimum level set Feb 15.
Referrals to safeguarding team

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Forward Plan as part of the budget setting process.	1 - High	Implemented	100	12 months	Andrew Brooker	
Head of finance's annual assessment of the need to retain reserves and ensure the economic contingency reserve is sufficient.	1 - High	Implemented	100	12 months	Andrew Brooker	
Plan recognises the role of the LEP as responsible for allocating a proportion of the former new homes bonus and LTP funding.	1 - High	Implemented	100	6 months	Andrew Brooker	
Respond to economic and emerging policy signals as an annual process with monthly monitoring of targeted against actual income.	1 - High	Implemented	100	12 months	Andrew Brooker	
All service monitoring reports require Dir's to bring spending into line. Managers to adopt new approach and "ways of thinking".	1 - High	Implemented	100	0 months	Andrew Brooker	
Link to transformation agenda and different model for delivery of service. Use FSR's to identify potential savings.	1 - High	In Progress	80	3 months	Andrew Brooker	
Monitor Govt/LGA statements and impact of welfare benefit changes.	2 - Medium	Implemented	100	12 months	Richard Bunn	
Increased focus on monitoring debt recovery programme.	2 - Medium	Implemented	100	0 months	Andrew Brooker	
Build business rate refund assumptions into MTFP based on historical data	2 - Medium	Implemented	100	6 months	Andrew Brooker	
Budget grazing in the event specific service pressures cannot be controlled.	2 - Medium	Implemented	100	0 months	Andrew Brooker	
Use of economic scorecard. Finance partners attend DMT's to refine processes and ensure common understanding of same.	2 - Medium	Implemented	100	0 months	Andrew Brooker	
Ensure sufficient reserves to accommodate spikes in demand. Head of finance makes an assessment of the need to hold balances.	2 - Medium	Implemented	100	6 months	Andrew Brooker	
Base budget review toolkit prepared for managers.	3 - Low	Implemented	100	12 months	Andrew Brooker	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	Regeneration and Economic Development Director		Date of next review	12/12/2015
Lead Director / Head of Services	Chris Hilton with Andrew Brooker as lead director (acting)		Audit Verification	
Lead Member	Cllr Philip Love, Cllr Simon Dudley in supporting role.		Done Q2 2013/14 (as part of project mgt audit) but with reduced coverage due to ING proposal failing.	

Risk Ref	REGEC0002		Uncontrolled			Current			Controlled	
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Deliver the Maidenhead regeneration programme on time and on budget.		Major	Very Likely	12	Major	Unlikely	6	Moderate	Unlikely	4

Nature of Risk - Project management failure

Failure to deliver Maidenhead regeneration programme on time and on budget. The main financial risk is around the state of the economy and ability of developers to fund and have sufficient expertise to identify viable schemes / improvements, and also the capital programme.

The definition of 'meaningful progress' is a publication of a feasibility study; formal pre-application; planning application under consideration; and / or post application progress.   The target for 2014/15 is to find 5 additional areas.   St Cloud Gate is progressing to a feasibility study following discussions with developer for site. York Road Opportunity Area progressing to planning application stage.   Nicholson's Car Park improvements progressing to planning application stage.

Performance Indicators

Risk appetite - medium

London & Edinburgh Group, Semdvig Eiendom, Waterways,
Symantec Refurb, West St. offices.
Crossrail, York Road dev't, Colonnade area, Chapel Arches.

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Scoping role and appointment of a development manager to support progression of York Road.	1 - High	Implemented	100	6 months	Chris Hilton	
Ensure budget and financial controls in place to support programmme. Budget spreadsheet updated monthly.	1 - High	Implemented	100	3 months	Chris Hilton	
Discussions with developers for a number of key town centre sites. Successful "Transforming Maidenhead" event in Feb 2013.	1 - High	Implemented	100	6 months	Chris Hilton	
YROA - Succesfully deliver the agreed way forward for York Road	1 - High	In Progress	40	3 months	Chris Hilton	
The Landing/Ryger development implement successful delivery by working in partnership with the developer	1 - High	In Progress	0	6 months	Chris Hilton	
Establish governance and structure/capacity/capability to manage the whole Maidenhead programme and all its opportunity areas.	1 - High	In Progress	70	3 months	Chris Hilton	
Restructure regeneration team to meet future demands.	1 - High	In Progress	50	3 months	Andrew Brooker	
Director of corporate services to work with Chris Hilton to create strategic plan for Maidenhead regeneration.	1 - High	In Progress	25	3 months	Andrew Brooker	
Area Action Plan adopted in September 2011 to provide the basis for phased regeneration.	2 - Medium	Implemented	100	6 months	Chris Hilton	
PRoM2 launched January 2012 and actively guiding development. Stakeholders represented on PRoM2.	2 - Medium	Implemented	100	6 months	Chris Hilton	
Commitment to council's role evidenced through capital contribution, programme management and stakeholder engagement.	2 - Medium	Implemented	100	12 months	Chris Hilton	
Appraised AAP compliance against the National Planning Policy Framework (sets out govt planning policies and their application).	2 - Medium	Implemented	100	12 months	Chris Hilton	
Review AAP in line with current economic climate and aspirations	2 - Medium	In Progress	0	12 months	Chris Hilton	

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Publishing Date	02/12/2015	**Review Freq**	3 months
Service Area	Regeneration and Economic Development Director	**Date of next review**	10/12/2015
Lead Director / Head of Services	Chris Hilton with Andrew Brooker as lead director (acting)	**Audit Verification** On 2015/16 audit plan.	
Lead Member	Cllr Derek Wilson		

Risk Ref	REGEC0003	Uncontrolled			Current			Controlled		
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Ensure Community Infrastructure Levy (CIL) is in place by April 2015. **Nature of Risk -** Failure to adopt a new Community Infrastructure Levy (CIL) by April 2015.		Extreme	Very Likely	16	Extreme	Likely	12	Extreme	Very Unlikely	4

From April 2015 CIL substantially replaces s106. CIL is a levy that local authorities can choose to charge on new developments in their area. It is recognised that CIL will generate significantly less receipt to the authority in comparison to S106 as advised to Cabinet on 17th December 2014.   The projected timetable for preparing our CIL will result in a period of several months during which we will not be able to collect any significant developer contributions for off-site infrastructure.

Planning obligations and CIL are intended to ensure that development that would otherwise be unacceptable can be made acceptable.   A development may be considered unacceptable if it would give rise to an increase in the demand on local services and infrastructure that they cannot cope with.   By securing financial contributions to improve the capacity of the affected services and infrastructure such harm can be avoided or mitigated, the development becomes acceptable and permission can be granted.

Performance Indicators

Risk appetite - high

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Secure interim approach to S106 prior to CIL adoption.	1 - High	Ongoing	100	3 months	Chris Hilton	
Consult internal staff and network with them on the approach to S106.	1 - High	Implemented	100	12 months	Chris Hilton	
Ensure that all robust evidence is provided at CIL inquiry. Inspectors need to approve our charging schedule.	1 - High	Implemented	20	6 months	Chris Hilton	
Advance preparation of CIL charging schedule so levy is ready to be introduced as soon as possible in advance of BLP (July 15)	1 - High	In Progress	25	2 months	Chris Hilton	
Agree processes/procedures for allocation of CIL funds once these are collected.	2 - Medium	Proposed	0	6 months	Chris Hilton	
Agree processes for charging CIL to ensure implementation can follow asap after council adoption.	2 - Medium	Proposed	0	12 months	Chris Hilton	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	Technology and Change Delivery		Date of next review	04/02/2016
Lead Director / Head of Services	Rocco Labellarte		Audit Verification On 14/15 audit plan.	
Lead Member	Cllr Hill			

Risk Ref	TECHAN0001			Uncontrolled			Current			Controlled	
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating	

Business Objective	Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Ensure systems provide sufficient and robust data integrity to provide suitable management information for decisions.	Extreme	Likely	12	Extreme	Likely	12	Extreme	Very Unlikely	4

Nature of Risk - Disaster recovery - IT application systems infrastructure

IT infrastructure failure i.e data storage infrastructure, systems access or total loss of council data centre affects the ability to function normally. Leads to:
- increased costs of downtime in the event of insufficient back up with particular emphasis on critical systems for adults and childrens services;
- employee time redirected from productive efforts to recovery efforts;
- expensive emergency service to rectify at short notice.

At least a week to fully recover from worst case scenario as insufficient resilience/back up available.   The provision of a cloud-hosted infrastructure significantly reduces the risk of a major disaster as it includes resilience as part of the design.

There is no IT staff support or third party contractual support outside of normal office hours (9am-5pm) Monday to Friday

The current Siemens phone system is near end-of-life, out of support and once end-of-life risks not being repairable in the event of failure.

There is no central register or process to establish Safe Harbor requirements of software and services where data is stored off site.

Performance Indicators

Risk appetite - low

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Out of Hours IT support. CMT consider that Out of Hours support should be considered as part of the broader transformation.	1 - High	Proposed	0	6 months	Rocco Labellarte	0.00
Rocco pushing various directorates to assume ownership and implement their individual business continuity plans.	1 - High	In Progress	10	3 months	Rocco Labellarte	
Cloud-hosted infrastructure significantly reduces the risk of a major disaster as it includes resilience as part of the design.	1 - High	In Progress	80	6 months	Rocco Labellarte	
BCP for IT published. Focusses on disaster recovery. Leadership group session in March 15 on next steps.	2 - Medium	Implemented	100	12 months	Rocco Labellarte	
Reshape IT to provide additional support cover.	2 - Medium	In Progress	25	6 months	Rocco Labellarte	
No core business systems to be more than one year old within the Cloud system.	2 - Medium	In Progress	90	6 months	Rocco Labellarte	
Data transfer commenced July 14 on a server by server basis. Servers can be moved to Cloud once this is complete.	2 - Medium	In Progress	60	6 months	Rocco Labellarte	
Replace the phone system with a new one. New phone system now due to complete in March 2016. We are having to reprocure.	2 - Medium	In Progress	50	6 months	Rocco Labellarte	

Publishing Date	02/12/2015		Review Freq	1 months
Service Area	CMT Risks		Date of next review	14/12/2015
Lead Director / Head of Services	Andrew Brooker		Audit Verification On 2015/16 audit plan.	
Lead Member	Cllr Geoff Hill			

Risk Ref	CMT0038		Uncontrolled			Current			Controlled		
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Determine and set the strategic approach for the Council's delivery of services. **Nature of Risk -** Technology obsolescence/inadequate for task		Extreme	Very Likely	16	Extreme	Very Likely	16	Extreme	Unlikely	8

In the years ahead, acceleration in the scope, scale, and economic impact of technology will usher in a new age of consumer gadgetry and instant communication. Technology is no longer simply a budget line or operational issue but an enabler of virtually every strategy. The CMT need to think about how specific technologies are likely to affect every part of the business and be completely fluent about how to use data and technology.

The corporate transformation board needs to establish strategically what services to commission, share, improve internally or stop delivering so that cohesive plans can be prepared, otherwise we run the risk of consuming resources on one set of initiatives and investments, just to see them superseded almost immediately by alternative solutions. Technological opportunities abound, but so do threats:

- using new unsuitable technologies i.e. not fully tested or totally fit for purpose;
- knowledge base of senior management team may not be suitable to determine suitable a IT strategy;
- the impact of big data, effective use of small data for management information;
- cybersecurity risks;
- the building control shared service agreement with Wokingham may cost up to £250K in additional IT equipment;
- RBWM telephone system has been out of support for nearly 12 months as at Jan 2015. If it fails we could immediately be in an extreme situation;
- unnecessary three network contract for the leisure services provided will still require funding (meets major financial impact criteria).

Performance Indicators

Risk appetite - medium

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Business transformation function uses long term CMT strategic objectives to coordinate people, process and technology.	1 - High	Ongoing	100	3 months	Rocco Labellarte	
Governance requiring each directorate to develop a roadmap of business software systems aligned to their strategies.	1 - High	Proposed	20	3 months	Rocco Labellarte	
Transformation board to establish strategically what services to commission, share, improve internally or stop.	1 - High	Implemented	100	12 months	Rocco Labellarte	
Prioritise resources to meet the co-ordinated people, process and technology strategies noted above.	2 - Medium	Ongoing	50	3 months	Rocco Labellarte	
IT strategy endorsed by Cabinet in 2014.	2 - Medium	Reviewed	100	12 months	Rocco Labellarte	

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Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	07/12/2015
Lead Director / Head of Services	Craig Miller		Audit Verification On 2015/16 audit plan.	
Lead Member	Cllr Carwyn Cox (Cllr Claire Stretton for Prevent strategy).			

Risk Ref	CMT0039		**Uncontrolled**			**Current**			**Controlled**	
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Determine and set the strategic approach for the Council's delivery of services.		Extreme	Likely	12	Extreme	Unlikely	8	Extreme	Unlikely	8

Nature of Risk - Crime and disorder

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

However 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 arising from the actions and behaviour of such groups, particularly in the area around Windsor's Combermere and Victoria barracks.

If police/security services share an honest risk assessment with the council, it may have negative impacts for the locality. Conversely, if a candid assessment is not provided, then the council may fail to see the need for any particular action.

Clause 26 of the Counter Terrorism and Security Act requires LAs to establish panels to assess the extent to which identified individuals are 'vulnerable to being drawn into terrorism'. A chief policy officer refers those 'vulnerable people' to the panel and they will be expected to prepare a plan to support these individuals to reduce their vulnerability. The council will be required to make checks on the use of its public buildings, its internet filters and any unregulated out of school settings, including after-school clubs and groups.

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.

Performance Indicators

Risk appetite - medium

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Since the Act places a new risk based duty on LA, proposals have been drafted on the councils response.	1 - High	Approved	0	3 months	Craig Miller	
Agree TOR for Channel Panel (administered and chaired by RBWM) who collectively assess risk and decide on support packages.	2 - Medium	In Progress	25	3 months	Craig Miller	
OBG report quarterly to the Community Partnerships Board.	3 - Low	Ongoing	100	12 months	Harjit Hunjan	
One Borough Group addresses extremism in their remit although powers are limited. Reps are from local partners, police, forces.	3 - Low	Implemented	100	0 months	Harjit Hunjan	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	10/12/2015
Lead Director / Head of Services	Craig Miller		Audit Verification On audit plan 2016/17.	
Lead Member	Cllr Carwyn Cox			

Risk Ref	CMT0040		**Uncontrolled**			**Current**			**Controlled**		
Business Objective		**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**	**Impact**	**Probability**	**Rating**
Determine and set the strategic approach for the Council's delivery of services.		Major	Likely	9	Major	Likely	9	Major	Unlikely	6

Nature of Risk - Resilience

a). Insufficient local resilience through the operation of the Thames Valley Local Resilience Forum (LRF); the ability of that group's preparation for, response to and recovery from emergency incidents i.e. severe weather, as well as direct emergency planning arrangements. RBWM has lead responsibility for transport issues (road/rail/air/water), animal disease, BCP and liaison for Spelthorne and Runnymede but little resource to commit to this.
b). 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. Where supply chains are built, the need for strong outsource management will be crucial. There is currently no out of hours IT support for the emergency operations centre.
c) Financial impact on RBWM from a critical event.

Performance Indicators

Risk appetite - medium

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Engage specific service managers across RBWM to cater for emergency response to flood, infectious disease, major civic emergency	1 - High	Approved	0	3 months	Craig Miller	
Operational continuity plans at head of service level with connections to emergency plan and CMT strategic action plan.	1 - High	Proposed	0	3 months	Simon Fletcher	
Develop community emergency plans.	2 - Medium	Proposed	0	3 months	Craig Miller	
Ensure sufficient reslience for IT systems/back ups in emergencies for the 24/7 control room or EOC.	2 - Medium	Proposed	0	3 months	Craig Miller	
Consider shared service for emergency planning post to meet requirements of CCA and embed BCP to a reasonable level.	2 - Medium	Proposed	0	3 months	Craig Miller	
Make a briefing to the CMT about emergency planning duties and hence identify what their role is in the control structure,	2 - Medium	Proposed	0	3 months	Craig Miller	
Waste suppliers have confirmed their processes and arrangements in the event of severe weather.	2 - Medium	Implemented	100	12 months	Craig Miller	
Identify and co-ordinate individuals for gold, silver and bronze operational command for the emergency operations centre.	2 - Medium	Proposed	0	6 months	Darren Firth	
Residential care homes have temporary accomodation plans for vulnerable adults that the council can support.	2 - Medium	Implemented	100	12 months	Angela Morris/Nick Davies/Alan Abrahamson	

THE ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	11/12/2015
Lead Director / Head of Services	Alison Alexander		Audit Verification	
Lead Member	Cllr Phil Bicknell		In our three year audit plan to be audited in year 2017/2018.	

Risk Ref	CMT0042	Uncontrolled			Current			Controlled		
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Determine and set the strategic approach for the Council's delivery of services.		Extreme	Likely	12	Major	Unlikely	6	Major	Unlikely	6

Nature of Risk - Demographic change

Significant increases of volume, complexity and in social cohesion of the borough population. Population changes reflecting immigration, a baby boom and an ageing society coupled with welfare reform means councils have to deliver more with less.

To take one example, greater EU immigration from the attraction of the UK economy relative to other countries will likely mean more economic migrants coming to the UK, many of whom will have children of school age. Material changes here will affect the level, nature and cost of service delivery for children's services.

The net migration position for the borough needs to be tracked because it could be that the reality is that relatively high house prices act as a disincentive to new families.

Performance Indicators

Risk appetite - medium

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
Track changes through economic outlook data presented monthly to the CMT which needs to include suitable demographic data.	2 - Medium	In Progress	90	6 months	Andrew Brooker	
Understanding and using our data intelligently to predict/forecast areas of growth and/or change.	2 - Medium	Ongoing	60	6 months	Alison Alexander	
Targeted training for areas affected by changes, for teachers/social workers/other professionals etc.	2 - Medium	Proposed	0	6 months	Alison Alexander	

Publishing Date	02/12/2015		Review Freq	3 months
Service Area	CMT Risks		Date of next review	10/12/2015
Lead Director / Head of Services	Christabel Shawcross and Alison Alexander		Audit Verification	
Lead Member	Cllr Natasha Airey (childrens) and Cllr David Coppinger (adults)		3. Risk management processes and controls are adequate but not effective in mitigating the identified risks (safeguarding children audit 2014/15, ref: 33/14)	

Risk Ref	CMT0043	**Uncontrolled**			**Current**			**Controlled**		
Business Objective		Impact	Probability	Rating	Impact	Probability	Rating	Impact	Probability	Rating
Determine and set the strategic approach for the Council's delivery of services.		Extreme	Very Likely	16	Major	Likely	9	Major	Unlikely	6

Nature of Risk - Safeguarding failure.

Safeguarding failures leads to injuries with particular focus on issues identified nationally as part of recent reports published on safeguarding children and child sexual exploitation (CSE).

Children's and adults services each have a detailed articulation of this risk on their operational risk registers. The CMT wish to take assurance by way of a key strategic risk register entry that captures activity across the council.

Performance Indicators

Risk appetite - low

Avoidance, Mitigation and Transfer	Effects on Risk Ratings H/M/L	Status	% Complete	Review Frequency	Control Owner	Set up / Ongoing cost
New improvement plan in place following March 2015 inspection.	1 - High	Ongoing	100	3 months	Ann Domeney	
New business plan in place for 15-16 that stipulates the activity of the service, clearly stating priorities.	1 - High	Ongoing	100	3 months	Ann Domeney	
Adopt and apply a quality assurance framework for childrens services to quality assure service on an ongoing basis.	1 - High	Implemented	100	3 months	Ann Domeney	
Clear strategy for recruitment and retention of experienced social workers and managers - Frontline etc.	1 - High	In Progress	90	12 months	Ann Domeney	
Adult safeguarding core groups meet weekly/fortnightly depending on the day to day issues being tracked.	1 - High	Ongoing	100	3 months	Angela Morris	
Embed the consistent use of a monthly weighting scheme to ensure caseloads are manageable.	2 - Medium	In Progress	0	3 months	Ann Domeney	
Support to adult safeguarding partnership board.	2 - Medium	Ongoing	100	12 months	Angela Morris	
Training and supervision of internal social care staff in adult safeguarding.	2 - Medium	Ongoing	100	6 months	Angela Morris	
Suitable performance management of safeguarding referrals & investigations. If needed, can lead to change of provider/practice.	2 - Medium	Implemented	100	6 months	Angela Morris	
Training and supervision of external provider. Safeguarding manager will provide coordinated quality assurance for RBWM.	2 - Medium	In Progress	80	12 months	Angela Morris	
Draft workforce development strategy complete, identifying need for developing relevant skills. Key priority for HH to develop.	2 - Medium	In Progress	60	3 months	Ann Domeney/Hilary Hall	
In the event of a major incident a serious case review will investigate and reflect on practice in health and social care etc.	3 - Low	In Progress	80	3 months	Angela Morris/Ann Domeney	