

Report Title:	<b>RBWM risk management report</b>
Contains Confidential or Exempt Information?	No - Part I
Member reporting:	Councillor Hilton, Lead Member for Finance
Meeting and Date:	Corporate Services overview and scrutiny panel - 25 September 2019
Responsible Officer(s):	Duncan Sharkey, Managing Director and Rob Stubbs, Deputy Director and Head of Finance
Wards affected:	None

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## REPORT SUMMARY

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

## 1. DETAILS OF RECOMMENDATION(S)

**RECOMMENDATION:** That the corporate services overview and scrutiny panel notes the report and:

- i) Approves this approach to managing risk.

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

### Options

**Table 1: Options arising from this report**

Option	Comments
To accept this report. <b>This is the recommended option.</b>	The council is required to publish an annual governance statement in which a central requirement is to demonstrate how it manages risk.
Not accept this report. This is not recommended.	Without a risk management framework the council may be exposed to the impact of unnecessary levels of or avoidable risks by not focussing resources where they are not needed.

- 2.1 Risk management is a governance process open to scrutiny from councillors and the public at the council's audit and performance review panel meetings.
- 2.2 If the council makes sound use of risk management processes it supports good performance and effective service delivery to residents.
- 2.3 The corporate risk register records the risks relating to the council's objectives. The purpose of risk analysis is to help decision-makers get a better feel for a

realistic range of possibilities, what drives that uncertainty and hence where efforts can be focussed to manage this uncertainty.

- 2.4 The risk registers are pertinent to the point in time at which they are produced and require free thinking by those who put them together. Anything that could inhibit the way in which such risks are expressed would impair the quality of decision making when determining the most appropriate response to a risk.
- 2.5 The potentially most damaging risks are classified as key risks. The inclusion of risks within any level of risk register does not inevitably mean there is a problem – what it signifies is that officers are aware of potential risks and have devised strategies for the implementation of mitigating controls.
- 2.6 Appendix A contains a current summary of the key risks. These risks were last presented to members at the meeting of the audit and performance review panel 9 April 2019. There have been no additions or removals from this schedule since then.
- 2.7 Members are regularly notified of the key risks where named as the risk owner either by direct information from the risk and insurance manager or as part of lead member briefings. Officer risk owners are tasked with ensuring that any comments by members are reflected in the assessment.
- 2.8 Risk reports are reviewed and debated at CLT meetings. If risks are considered to be of such low impact that there is little reason that ongoing monitoring is beneficial then they are removed from the risk register.

### 3. KEY IMPLICATIONS

3.1 **Table 2: Key Implications**

<b>Outcome</b>	<b>Unmet</b>	<b>Met</b>	<b>Exceeded</b>	<b>Significantly Exceeded</b>	<b>Date of delivery</b>
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	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.

Outcome	Unmet	Met	Exceeded	Significantly Exceeded	Date of delivery
projects with the risks in mind.					

#### 4. FINANCIAL DETAILS / VALUE FOR MONEY

4.1 No financial implications. Any resources for mitigations would depend on the existing budgets.

#### 5. LEGAL IMPLICATIONS

5.1 There are potential legal implications should a risk occur to the council 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 regulations<sup>1</sup> by publishing an annual governance statement which demonstrates how it manages risk.

#### 6. RISK MANAGEMENT

**Table 3: Impact of risk and mitigation**

Risks	Uncontrolled risk	Controls	Controlled risk
<p>HIGH</p> <p>The council fails to make good use of risk management processes.</p> <p>Risk register ref: IRM0003</p>	<p>Management and members have insufficient awareness of those risks which carry the potential to severely damage the organisation and affect residents..</p>	<ul style="list-style-type: none"> <li>Risks are reviewed by risk owners, the senior management team and members.</li> <li>The overview and scrutiny panel provides a mechanism for examination of the process.</li> </ul>	<p>LOW</p>

#### 7. POTENTIAL IMPACTS

7.1 Equalities. None directly although some individual risks may contain obligations.

7.2 Climate change/sustainability. None directly although some individual risks may contain associated obligations.

<sup>1</sup> Regulation 6(2) of the Accounts and Audit Regulations 2015

7.3 Data Protection/GDPR. None directly although some individual risks may contain obligations.

## 8. CONSULTATION

8.1 Consultations take place with the former audit and performance review panel, corporate leadership team, heads of service and the shared audit and investigation service.

## 9. APPENDICES

9.1.1 This report is supported by two appendices:

- A – heat map showing assessment of current key risk impact/likelihoods
- B – detail supporting the key **strategic risk** element of appendix A.

## 10. BACKGROUND DOCUMENTS

10.1 This report is not supported by any background documents.

## 11. CONSULTATION (MANDATORY)

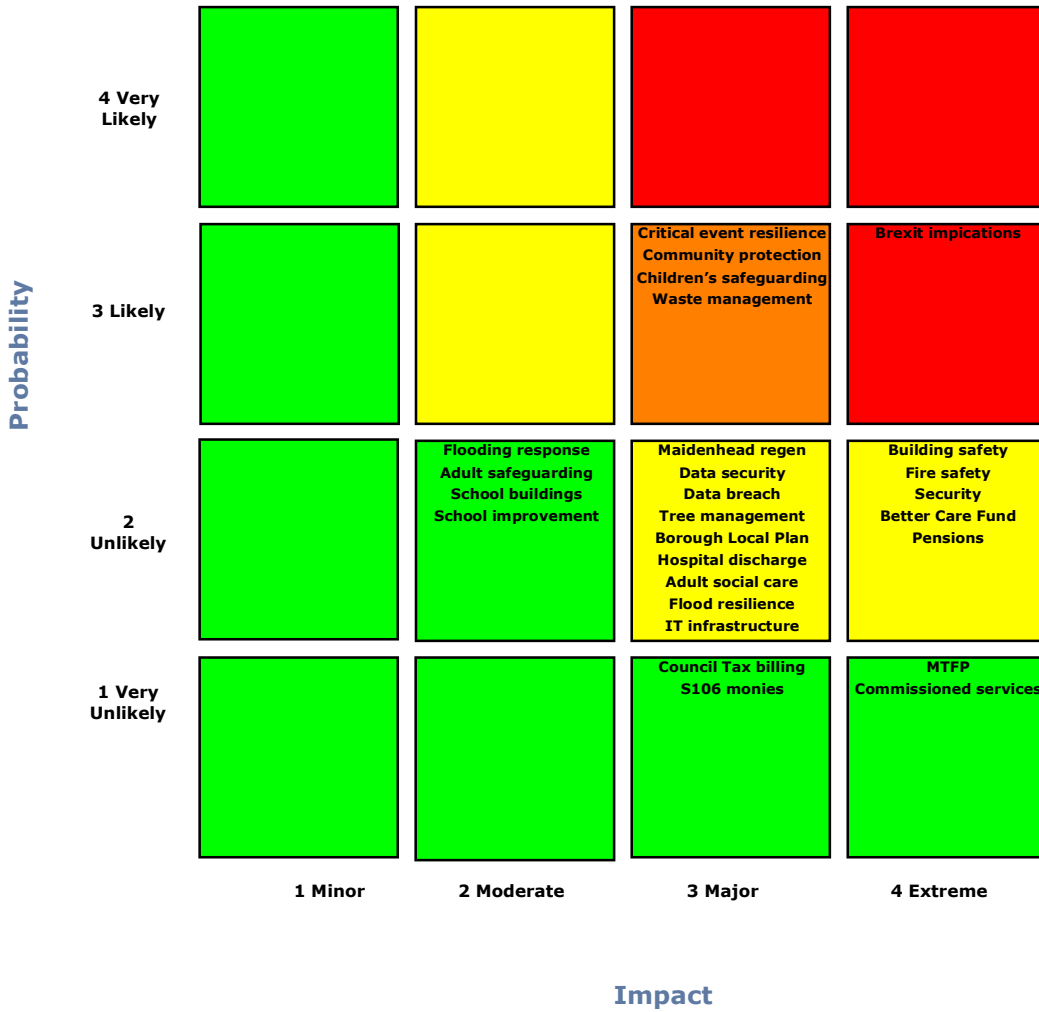
Name of consultee	Post held	Date sent	Date returned
Cllr Hilton	Lead Member for Finance	16/09/19	16/09/19
Duncan Sharkey	Managing Director	13/09/19	
Russell O'Keefe	Executive Director	13/09/19	
Andy Jeffs	Executive Director	13/09/19	
Rob Stubbs	Head of Finance	12/09/19	
Elaine Browne	Interim Head of Law and Governance	13/09/19	
Nikki Craig	Head of HR and Corporate Projects	13/09/19	
Louisa Dean	Communications	13/09/19	
Kevin McDaniel	Director of Children's Services	13/09/19	
Hilary Hall	Deputy Director of Commissioning and Strategy	13/09/19	16/09/19
	Other e.g. external	n/a	

## 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

## Key risk summary as at 12/09/19



## Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned to	Next review date
12	RBWM0015	<p><b>Brexit</b></p> <p>This Brexit risk focuses on the ability of the council services to prepare for the UK departure from the EU originally scheduled by the government for 29/03/19, then for 12/04/19 with an emergency EU summit then making the deadline 31 October 2019. As at 12/09/19, it is not known what the exit deal will look like and despite what parliament have indicated, the government are stating the prospect of a no deal scenario remains real. In such a situation consumers, businesses and public bodies would have to respond immediately to changes as result of leaving the EU.</p> <p>The publication in the Sunday Times of the Government's own document on potential effects, 'Operation Yellowhammer', suggests a rational awareness of what could happen. Potential impacts depending on the nature of the negotiations at the deadline include:</p> <ul style="list-style-type: none"> <li>- Inflation, increased regulation and uncertainty could affect the council's tenders i.e. less bidders or rising costs for services.</li> <li>- Impact on our supply chains, both with direct tier suppliers and their sub-contractor network potentially increasing cost and reprioritisation of resources. There is a risk that a complete failure in supply e.g. Carillion from key suppliers could be felt.</li> <li>- Resilience of contracted services / workforce. With 46 care homes, if providers struggle with workforce resilience there could be higher demands on statutory services.</li> <li>- Any post-Brexit arrangement that results in greater friction around data transfers between the UK and the EU could present problems. Office 365 and Microsoft Azure presently host data for us in Europe. Our IT Helpdesk is hosted in Germany.</li> <li>- SMEs will likely be the least resilient in the event of any economic downturn which could increase the take up of revenue and benefits services, housing advice, financial assistance if this impacts families/individuals. RBWM is unaware of any big business relocations/loss of business rates.</li> <li>- In the event of higher demands on public services, front facing services in particular may find difficulty in providing the quality and speed of customer provision based on current resource levels.</li> <li>- Transition period instability could result in increased need for signposting; e.g. elections/voting information/issues around settled status.</li> <li>- Increases in anti-social behaviour e.g. if the government were to compromise on the question of EU citizens' access to the UK labour market in order to secure a trade deal, there is potential for a voter backlash on immigration, with worrying implications for community cohesion.</li> <li>- There could be a risk to delay in the projected timetable of regeneration if there is a skills/workforce shortage in the construction industry.</li> </ul>	CLT with Andy Jeffs leading	08/11/2019
9	CMT0040	<p><b>Resilience to major critical event</b></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.</p> <p>Avoid single officer point of failure to fulfil duties under Civil Contingencies Act.</p>	David Scott	07/11/2019

## Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Next review date
9	ENFOR0002	<p><b>Community protection</b> Failure to meet preventative statutory obligations around community protection results in:</p> <ul style="list-style-type: none"> <li>a. death or serious illness/injury of residents;</li> <li>b. public health implications from spread of notifiable disease and decimation of local/national farming economy consequent prosecution, fines, publicity.</li> <li>c. National government intervention.</li> <li>d. Reputational damage to the council.</li> </ul> <p>Failure to meet minimum legislative requirements for 1) food, 2) health and safety, 3) housing, 4) environmental protection for contaminated land.</p> <p>There is no central government requirement for an animal health policy nor is there a Defra SDP to comply with any more. (Instead a local inspection plan is drafted annually which targets inspection of 100% of high-risk premises).</p>	David Scott	21/11/2019
9	SSS0011	<p><b>Children's safeguarding failure.</b> Nationally increasing levels of demand are putting pressure on all elements of the service.</p> <p>Lack of intelligence around unknown risk areas e.g. trafficking, child sexual exploitation (CSE) and County Lines could lead to major preventable injuries occurring. There is particular focus at present on issues related to continued exploitation of vulnerable people and children.</p>	Kevin McDaniel	07/11/2019
9	WASTE0001	<p><b>Waste</b> There is the ongoing risk of ensuring that waste/recycling is collected from the bins as per resident expectations.</p> <p>The new collection contract was approved at Cabinet on 28 February to commence on 1 October 2019. There is risk that the changeover to a new contractor may not be seamless causing significant resident dissatisfaction and complaints.</p> <p>Sufficient mitigations are deemed to be in place but their effectiveness will not be clear until the changeover period is suitably mature, hence the current risk assessment is medium/high.</p>	Hilary Hall	24/09/2019
8	BS0014	<p><b>Building safety</b> Failure to comply with statutory obligations e.g. legionella policy, asbestos policy, gas, electric policies etc leads to personal injury, damage and possible legal action. There is also exposure should any improvement notices not be carried out.</p>	Russell O'Keefe	01/11/2019
8	BS0015	<p><b>Fire safety</b> Failure to carry out fire safety works to council properties including schools leads to increased exposure to fire risk, enforcement notice issued on inspection and reputation damage in event of fire.</p> <p>The probable key exposure to the council is not so much about the likelihood of a fire occurring but around being held culpable for not complying with its statutory duties regarding this hazard.</p> <p>(a) the financial level of fines that can be levied by fire safety inspectors should the organisation either not carry out a fire risk assessment and/or not act on its findings. This is compounded by very few property managers having sufficient understanding of the premises messages resulting from surveys e.g. over-occupancy, and, to a lesser extent, physical alterations e.g. alarms, fire doors; (b) a sudden need to inject money into a building should an improvement notice be served. There is insufficient funding to be able to get the necessary works completed.</p>	Russell O'Keefe	30/10/2019

## Detailed Risk Information

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8	CMT0039	<p><b>Security</b></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>	Andy Jeffs	20/09/2019
8	HSG0009	<p><b>Better Care Fund</b></p> <p>1. The pooled Better Care Fund budget (of which £12M is RBWM's) fails to deliver services that meet health and social care needs in an integrated way to reduce avoidable admissions to care homes and hospitals.</p> <p>2. Failures could potentially lead to DoH intervention.</p> <p>This all culminates in less prevention work and additional cost to us and the NHS.</p>	Hilary Hall	19/06/2019
8	PEN0001	<p><b>Pensions</b></p> <p>Insufficient resources to meet demands leading to pension fund having a substantial deficit. The fund covers all 6 Berkshire unitaries along with over 200 other smaller scheme employers.</p>	Kevin Taylor	22/01/2020
6	CORP0002	<p><b>Maidenhead regeneration</b></p> <p>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.</p> <p>2. Changes in the economy 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.</p> <p>3. Ensuring effective join up of sites and infrastructure delivery.</p>	Russell O'Keefe	27/11/2019
6	FOI0003	<p><b>Data security</b></p> <p>(a) Serious external security breaches, (b) data loss or damage to data caused by inadequate information.</p>	Andy Jeffs	23/09/2019
6	FOI0006	<p><b>Data breach</b></p> <p>Statutory breach arising from non-compliance with the Data Protection Act 2018 leads to fines of up to €20m plus legal action costs following judicial remedies. 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 temporary or permanent bans on processing.</p> <p>Confidence level in accuracy of current risk assessment: medium.</p>	Elaine Browne	22/11/2019
6	HE0011	<p><b>Tree management</b></p> <p>Failure to undertake essential health and safety works to RBWM trees could lead to their collapse leading to property damage, injury, compensation claims, criticism. There are two areas:</p> <p>1. Inadequate capacity to inspect (a) trees within parks, open spaces and cemeteries and (b) highways trees.</p> <p>2. Failure to undertake the maintenance and safety works identified from inspection.</p>	David Scott, Ben Smith, Hilary Hall	01/10/2019



## Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Next review date
6	HPLAND0018	<p><b>Borough Local Plan</b></p> <p>If we do not deliver sound Borough Local Plan we risk</p> <p>a) Increased pressure on our ability to demonstrate we have a five year supply of land for housing. This could lead to development taking place at locations and/or in a way we would not otherwise accept or to planning by appeals;</p> <p>b) Stagnation and failure to provide for a range of housing needs;</p> <p>c) Inability to resist inappropriate development with panel decisions being overturned on appeal;</p> <p>d) Failure to attract S106 and CIL (from April 2015 government regs restricted the use of s106 agreements and CIL will become the principle means of collecting financial contributions from new development);</p> <p>e) Local infrastructure not planning to cope with or take advantage of local development possibilities as part of Maidenhead regeneration including Crossrail.</p> <p>f) Failing to meet statutory responsibility to provide educational places for all borough residents.</p> <p>g) Challenge to the BLP, major planning enquiries including the 4 joint ventures taking place in Maidenhead.</p> <p>It is also important to note that the longer the process takes, the greater the risk events will impact on the process which then requires additional time and resource to consider.</p>	Russell O'Keefe	01/10/2019
6	HSG0005	<p><b>Delayed hospital discharge</b></p> <p>Under the Care Act hospitals have the right to fine their local social services if a patient's transfer is delayed for social-care related reasons. With an ageing population, medical advances and changing public expectations, the number of older people delayed from leaving hospital and transferring to residential care can accelerate very rapidly into increased costs on the council. People are living longer, typically remaining physically stronger for longer. More people are now becoming frail with dementia in the last 3 years of life which is when care is most needed.</p> <p>A certain amount of outstanding cases will always exist because of limited specialist placements for people with challenging conditions but this should not skew the risk assessment judgement.</p>	Hilary Hall	30/09/2019
6	HSG0007	<p><b>Adult social care</b></p> <p>Growth in number of older people with disabilities, children's services transitions and long term conditions leads to costs increasing beyond the capacity of council and the inability to meet critical needs in the long term.</p> <p>Wealth depleters constitute a significant risk to the council.</p> <p>New contract for domiciliary care is due to be let in August 2020 - there will inevitably be some volatility associated.</p>	Hilary Hall	19/10/2019
6	PPS0012	<p><b>Flooding resilience</b></p> <p>The borough has an inherent vulnerability to flooding. There is a risk that we have insufficient resilience to reduce the chance of an extensive and damaging flooding event which could otherwise lead to excessive and unnecessary disruption.</p> <p>The cause of this is not delivering the right schemes from the right level of investment. Caution should be used before withdrawing capital funding should no serious floods occur over an extended period of time. RBWM is the lead local flood risk authority.</p>	Ben Smith	01/10/2019

## Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Next review date
6	TECHAN0001	<p><b>IT infrastructure</b></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>Details are within the ICT risk register of which this is a summary.</p> <p>Causes:            External cyber threats e.g. 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:            - increased costs of downtime in the event of insufficient back up            - expensive emergency service to rectify at short notice.</p>	Andy Jeffs	22/11/2019
4	HE0010	<p><b>Flooding response</b></p> <p>The borough has an inherent vulnerability to flooding. Localised flooding can result in disruption to residents. Sewer flooding is a particular problem in Cookham and Ascot.</p> <p>The EA indicate that the ground water levels are presently relatively low, so the risk of flooding is lower than if the ground water level was higher. What is less clear is how long it would take for the aquifers to fill so that the ground could not tolerate intensive rain.</p>	David Scott	21/11/2019
4	HOF0006	<p><b>MTFP</b></p> <p>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.</p>	Rob Stubbs	23/10/2019
4	HSG0008	<p><b>Adult safeguarding</b> Failure to ensure appropriate measures to meet safeguarding adult requirements leads to significant and preventable harm/death to vulnerable people.</p>	Optalis – monitor by Hilary Hall	30/10/2019
4	SCHOOL0007	<p><b>School buildings</b></p> <p>Failure to comply with legislation around and provide a service for monitoring and managing school building related risks such as fire, legionella and asbestos.</p> <p>As well as greater exposure to related hazards, without the correct certification around compliance, the chance of a DfE visit increases.</p>	Kevin McDaniel	31/07/2019
4	SCHOOL0008	<p><b>School improvement</b></p> <p>Schools are not improving at the rate required to remain in or achieve the top quartile performance. Schools are judged as below "Good" by Ofsted.</p> <p>The schools attainment rates are insufficient to make them competitive with their peers.</p> <p>Families choose to not use borough schools because of underperformance, resulting in smaller schools with a higher probability of further performance decline.</p>	Kevin McDaniel	31/10/2019

## Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Next review date
4	SCP0004	<p><b>Commissioned services</b> 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:</p> <ul style="list-style-type: none"> <li>- Statutory services for children and adults not delivered.</li> <li>- Resident facing community services, such as highways or waste collection, not delivered.</li> <li>- Reputational damage to the council.</li> <li>- Potential risks to public health.</li> <li>- Vulnerable adults and children may be left more at risk.</li> <li>- Problems in maintaining the streetscene to a safe level leading to highways injuries/claims against the statutory highway authority.</li> </ul>	Hilary Hall	30/09/2019
3	CUSTMA0009	<p><b>Council tax billing process</b> is not delivered accurately or on time causing reputation damage and potentially unenforceable debts. Failure, including that for any incorrectly presented precept, could lead to a rebilling exercise.</p> <p>We can only commence the final process once CTax is formally agreed, the police and fire precepts are set (and parish council precept if applicable). The bill must be correct to be enforceable. The presentation style of the numbers used on the bill is subject to legislative requirements and this can lead to explanatory notes being necessary e.g. rounding issues.</p> <p>Capita provide the software to generate the annual billing outputs but this is heavily reliant on RBWM providing and checking the data and presentation at various stages. The parameters are extensive for both CTax and benefits. An external print company is used to generate the bills.</p> <p>The head of service is the project manager and owner of the annual billing process.</p>	Louise Freeth	21/09/2019
3	HPLAND0015	<p><b>S106 monies</b> Failure to identify and approve projects for the expenditure of S106 monies indicates lack of a clear strategy for the most resource effective use of the funding and will not bring benefits. Failure to identify the s106 monies will also affect the progress of the CIL</p> <p>Parishes will be getting a proportion of this money in future which means less revenue to support council schemes.</p> <p>The council is successful at claiming monies and there's an agreed list of spending. The risk is whether we are spending appropriately in accordance with the relevant legal agreement. Whilst there has been little challenge so far there is an exposure to having to repay the money.</p>	Jenifer Jackson	30/09/2019

# Appendix B - key strategic risk register as at 12/09/19

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Risk Ref Headline  Details	Implemented or Ongoing Controls	Current Rating & Risk Appetite Target	Controls not Fully Developed	Changes made at Last Review	Lead Member & Assigned to
<p><b>RBWM00</b> <b>Brexit implications on the local authority.</b> <b>15</b></p> <p>This Brexit risk focuses on the ability of the council services to prepare for the UK departure from the EU originally scheduled by the government for 29/03/19, then for 12/04/19 with an emergency EU summit then making the deadline 31 October 2019. As at 12/09/19, it is not known what the exit deal will look like and despite what parliament have indicated, the government are stating the prospect of a no deal scenario remains real. In such a situation consumers, businesses and public bodies would have to respond immediately to changes as result of leaving the EU.</p> <p>The publication in the Sunday Times of the Government's own document on potential effects, 'Operation Yellowhammer', suggests a rational awareness of what could happen. Potential impacts depending on the nature of the negotiations at the deadline include:</p> <ul style="list-style-type: none"> <li>- Inflation, increased regulation and uncertainty could affect the council's tenders i.e. less bidders or rising costs for services.</li> <li>- Impact on our supply chains, both with direct tier suppliers and their sub-contractor network potentially increasing cost and reprioritisation of resources. There is a risk that a complete failure in supply e.g. Carillion from key suppliers could be felt.</li> <li>- Resilience of contracted services / workforce. With 46 care homes, if providers struggle with workforce resilience there could be higher demands on statutory services.</li> <li>- Any post-Brexit arrangement that results in greater friction around data transfers between the UK and the EU could present problems. Office 365 and Microsoft Azure presently host data for us in Europe. Our IT Helpdesk is hosted in Germany.</li> <li>- SMEs will likely be the least resilient in the event of any economic downturn which could increase the take up of revenue and benefits services, housing advice, financial assistance if this impacts families/individuals. RBWM is unaware of any big business relocations/loss of business rates.</li> <li>- In the event of higher demands on public services, front facing services in particular may find difficulty in providing the quality and speed of customer provision based on current resource levels.</li> </ul>	<ol style="list-style-type: none"> <li>1. Horizon scan future contracts expected to tender in 2019 and review the council's procurement strategy.</li> <li>2. Guidance around the government's preparations for a no deal scenario stood down (May 19) although much remains valid.</li> <li>3. Optalis maintain regular contract monitoring with care providers. None are currently reporting any risks associated with Brexit.</li> <li>4. Specific awareness campaign for registered EU voters on arrangements in May 2019.</li> <li>5. Vigilance through partner agencies. Community wardens and One Borough to be alert to resident/community concerns.</li> <li>6. Data t/f -Microsoft etc confirm that this is part of their global platform so no issues with the physical access to data.</li> <li>7. JV partners have assessments and mitigations in place. Some mitigations secured through RBWM contract terms on delays/costs.</li> </ol>	<p style="background-color: red; color: white; text-align: center; padding: 5px;"><b>12</b> <b>High</b></p> <p style="background-color: yellow; text-align: center; padding: 5px;"><b>6 - Medium</b> <b>Low</b></p>	<ol style="list-style-type: none"> <li>1. Work with front facing services to see if any increased cross-skilling can add resilience to teams e.g. CSC, Revs+Bens, Housing.</li> <li>2. Brexit preparedness working group set up to meet weekly and RAG rate council position on key themes e.g. statutory services, regulatory services, supply chains, data handling.</li> </ol>	<p>Reviewed at CLT 07/08/19. No material changes.</p>	<p>CLT</p>

Risk Ref Headline Details	Implemented or Ongoing Controls	Current Rating & Risk Appetite Target	Controls not Fully Developed	Changes made at Last Review	Lead Member & Assigned to
<p>- Transition period instability could result in increased need for signposting; e.g. elections/voting information/issues around settled status.</p> <p>- Increases in anti-social behaviour e.g. if the government were to compromise on the question of EU citizens' access to the UK labour market in order to secure a trade deal, there is potential for a voter backlash on immigration, with worrying implications for community cohesion.</p> <p>- There could be a risk to delay in the projected timetable of regeneration if there is a skills/workforce shortage in the construction industry.</p>					
<p><b>CMT0040 Fail to protect residents should an emergency incident occur</b></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.</p> <p>Avoid single officer point of failure to fulfil duties under Civil Contingencies Act.</p>	<ol style="list-style-type: none"> <li>1. BCPs are continually updated to reflect BCP situations. Training sessions are set for the autumn with nominated officer leads.</li> <li>2. Inter authority agreement in relation to joint emergency planning unit (JEPU) in place between RBWM, WBDC and BFBC.</li> <li>3. There is an emergency planning out of hours rota of officers who have relevant roles and responsibilities. Held by control room.</li> <li>4. Shared service for emergency planning.</li> <li>5. Waste suppliers have confirmed their processes and arrangements in the event of severe weather.</li> <li>6. Ensure sufficient resilience for IT systems/back ups in emergencies for the 24/7 control room or EOC.</li> <li>7. Residential care homes have temporary alternative accommodation plans for vulnerable adults for use in emergency situations.</li> <li>8. The need for contractors to have BCPs in place is part of the commissioning and contracting process (but no testing process).</li> </ol>	<p style="text-align: center;">9 Medium/High</p> <p style="text-align: center;">6 - Medium Low</p>	<ol style="list-style-type: none"> <li>1. Engage specific service managers to cater for emergency response to all key risks e.g. flood, disease, major civic emergency.</li> <li>2. Each service is responsible for developing BCP and the process is being embedded within the resilience framework under each HoS.</li> <li>3. Provide appropriate training to CLT.</li> <li>4. Test BCP's - both our own and those of our key contractors.</li> <li>5. Develop and support community based emergency plans in conjunction with parish councils.</li> <li>6. Ensure BCPs contain an information cascading mechanism so staff are notified of actions in the event of an emergency.</li> <li>7. Identify and co-ordinate individuals for operational command for the EOC and ensure appropriate training and development.</li> <li>8. New generator in Tinkers control room by November 2019. Enabling works commence 01/06/19.</li> </ol>	<p>Reviewed by DVS at CLT 07/08/19. Amended controls to reflect forthcoming BCP project work.</p>	<p>David Scott</p>

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<p><b>CMT0039 Security</b></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>	<ol style="list-style-type: none"> <li>1. Temporary HVM measures deployed in 2017 replaced by integrated permanent measures in 2019/20 (see controls in development).</li> <li>2. Evacuation plan for Windsor in place.</li> <li>3. Community safety partnership strategy and action plan in place, updated annually.</li> <li>4. Close partnership working with police and military to share intelligence and ensure risks are reduced.</li> <li>5. TOR for Channel Panel, (administered and chaired by RBWM) who assess risk and decide on support packages, refreshed in 18/19.</li> <li>6. RBWM works closely with the One Borough group to build and maintain public inter-faith confidence in preventing all extremism.</li> </ol>	<p>8 Medium</p> <p>8 - Medium</p>	<ol style="list-style-type: none"> <li>1. Permanent, integrated hostile vehicle mitigation measures in Windsor to ensure the safety of residents. Phase 1 in Sept 19.</li> <li>2. Update reports from DVS to the CLT on Channel Panel and the Prevent strategy in 19/20 so there's annual visibility of these.</li> </ol>	<p>Added new controls to be developed.</p>	<p>Cllr Cannon with Cllr S Rayner for Prevent strategy where applicable</p> <p>Andy Jeffs</p>
<p><b>SCP0004 Failure of commissioned service provision</b></p> <p>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.</p> <p>Leads to:</p> <ul style="list-style-type: none"> <li>- Statutory services for children and adults not delivered.</li> <li>- Resident facing community services, such as highways or waste collection, not delivered.</li> <li>- Reputational damage to the council.</li> <li>- Potential risks to public health.</li> <li>- Vulnerable adults and children may be left more at risk.</li> <li>- Problems in maintaining the streetscene to a safe level leading to highways injuries/claims against the statutory highway authority.</li> </ul>	<ol style="list-style-type: none"> <li>1. Robust governance arrangements at Member and officer levels in place and operating.</li> <li>2. Make Highways Maintenance Mgt Plan risk based as per 2018 Code of Practice to show our rationale in case of legal challenge.</li> <li>3. Identified contract managers in place.</li> <li>4. Revised HMMP approved by Cabinet December 2015.</li> <li>5. Change control mechanisms in place across all contracts.</li> <li>6. Tight contract monitoring - quarterly and monthly contract meetings.</li> </ol>	<p>4 Low</p> <p>4 - Low</p>	<ol style="list-style-type: none"> <li>1. Road categorisation project woven into HMMP.</li> </ol>	<p>Reviewed by HH 09/05/19. Minor changes around controls. Lead members amended.</p>	<p>Cllr Carroll Cllr S Rayner Cllr Johnson Cllr Clarke</p> <p>Hilary Hall</p>

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	<p>7. Exit clauses/strategies negotiated and in place across all contracts.</p> <p>8. Clear vision and business plans for all companies, aligned to the Council Plan.</p> <p>9. Performance dashboard of key service and financial indicators - reviewed monthly and quarterly.</p>				
<p><b>HOF0006 Expenditure volatility causes a significant departure from the financial plans.</b></p> <p>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.</p>	<p>1. Review of base budget annually involving managers.</p> <p>2. Forward Plan as part of the budget setting process.</p> <p>3. Head of finance's annual assessment of the need to retain reserves.</p> <p>4. All service monitoring reports require budget managers to bring spending into line.</p> <p>5. Respond to economic and emerging policy signals as an annual process with monthly monitoring of targeted against actual income.</p> <p>6. Increased focus on monitoring debt recovery programme.</p> <p>7. Monitor Govt/LGA statements and impact on local government.</p> <p>8. Build business rate refund assumptions into MTFP based on historical data</p> <p>9. Ensure sufficient reserves to accommodate spikes in demand. Head of finance makes an assessment of the need to hold balances.</p>	<p>4 Low</p> <p>4 - Low</p>	<p>1. Finance processes in the "Induction for Managers" will be reviewed, including budget training.</p>	<p>Reviewed by RS - no material changes.</p>	<p>Cllr Hilton Rob Stubbs</p>

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<p><b>TECHAN001 IT Infrastructure failure</b></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>Details are within the ICT risk register of which this is a summary.</p> <p>Causes:  External cyber threats e.g. 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:  - increased costs of downtime in the event of insufficient back up  - expensive emergency service to rectify at short notice.</p>	<ol style="list-style-type: none"> <li>1. Multiple data centres provides increased resilience.</li> <li>2. Line of business systems hosted either on local servers or on remote cloud-hosted servers.</li> <li>3. Council networks are protected by multiple security layers using firewall and other control technologies.</li> <li>4. Physical Infrastructure controls - access controls, remote access capability, environmental monitoring, generator and UPS.</li> <li>5. DDOS protection in place.</li> <li>6. Council external website is hosted in the Cloud.</li> <li>7. Disk drives are configured to use RAID technology.</li> <li>8. Switch replacement and diversely routed networks. External network links supplied and supported by tier one UK network suppliers</li> </ol>	<p>6 Medium/Low</p> <p>4 - Low</p>	<ol style="list-style-type: none"> <li>1. Business Continuity/Disaster Recovery</li> <li>2. £600k investment in desktop replacements. Pilot in Sept with rollout proposed for the winter. Systems are linked to desktops.</li> </ol>	<p>Reviewed at CLT 07/08/19.  Current rating to 6 from 3 due to new controls not fully developed at this time.</p>	<p>Cllr Shelim  Andy Jeffs</p>



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<p><b>FOI0006 Data breach</b></p> <p>Statutory breach arising from non-compliance with the Data Protection Act 2018 leads to fines of up to €20m plus legal action costs following judicial remedies. 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 temporary or permanent bans on processing.</p> <p>Confidence level in accuracy of current risk assessment: medium.</p>	<ol style="list-style-type: none"> <li>1. Maintain a corporate register of processing activities as per article 30 of GDPR.</li> <li>2. Adapt privacy notices to include the 6 GDPR principles. Ensure all policies align to the Data Protection Act 2018.</li> <li>3. Reviewed information assets. Continuing development of the information asset register and updating entries by info asset owners</li> <li>4. Historic children's data (and other files) securely stored in Waldeck House rationalised and moved to Iron Mountain as necessary</li> <li>5. Security induction and annual training procedure embedded in HR procedures and the appraisal process.</li> <li>6. Run annual training sessions for officers, members and parish councils.</li> <li>7. Optalis and AfC data sharing and handling arrangements in place and part of contract management.</li> <li>8. All RBWM-issued mobile devices are controlled by our mobile device management solution, Microsoft InTune.</li> <li>9. Enrol non-RBWM devices into InTune platform. This enables deployment of the MS Outlook app onto each device.</li> <li>10. Review all partnership agreements and determine the information sharing arrangements, updating as necessary.</li> <li>11. Reporting of any data breaches is a regular reporting item to the monthly meetings of the operational commissioning board.</li> <li>12. There is an information governance working group meeting monthly to identify and drive associated good practice in this area.</li> <li>13. Appointed a data protection officer (DPO). Updated DP Policy to include DPO as a mandatory role.</li> </ol>	<p style="text-align: center;">6 Medium/Low</p> <p style="text-align: center;">6 - Medium Low</p>	<ol style="list-style-type: none"> <li>1. Services to ensure they have complete registers of their held data at Iron Mountain guided by applicable retention schedule.</li> <li>2. Determine how well the council's document retention policy is being applied.</li> <li>3. Central government is developing a email blueprint to enable secure communications with local authority email accounts.</li> <li>4. Establish how the categorisation of files held at Iron Mountain can be improved so that data is not being held unnecessarily.</li> <li>5. GDPR – a full risk register is being prepared by the DPO.</li> </ol>	<p>Reviewed at CLT 07/08/19 - progress on Waldeck House and Iron Mountain storage but unclear over application of document retention policy overall.</p>	<p>Clr Shelim  Elaine Browne</p>

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<p><b>CORP000 2 Maidenhead regeneration programme fails to deliver expected benefits.</b></p> <p>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 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.</p>	<p>1. Summary details of the Prop Co's risk register go into a half yearly update to cabinet on their performance.</p> <p>2. Prop co's risk register is specific to all risk associated with regeneration and capital development programme projects.</p>	<p>6 Medium/Low</p> <p>8 - Medium</p>	<p>None</p>	<p>Reviewed CLT 07/08/19 - added capital receipts risk to the threat wording.</p>	<p>Cllr Johnson Russell O'Keefe</p>
<p><b>FOI0003 Data security</b></p> <p>(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>	<p>1. Security awareness of officers and external service providers who use our IT.</p> <p>2. Secure remote working with computers, encrypted area for sensitive laptop data.</p> <p>3. Develop, publish and communicate information security policies.</p> <p>4. Audit use of all Council laptops and obtain management authorisation for their use.</p> <p>5. Create a security induction and training procedure and embed in HR procedures and the appraisal process.</p> <p>6. Information governance manager to check and take action when inappropriate external transmissions of data are reported.</p> <p>7. All security breaches are investigated. Intel shared with organisational development team to weave into future learning.</p>	<p>6 Medium/Low</p> <p>8 - Medium</p>	<p>1. Implement a robust exit strategy with accountabilities when staff leave the organisation or return surplus IT equipment..</p>	<p>Reviewed by AJ - no changes.</p>	<p>Cllr Shelim Andy Jeffs</p>

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	<p>8. Disposal of confidential waste papers. Specific bins are in place to ensure such waste is locked and secure at all times.</p> <p>9. Exchange of data and information with other organisations. Policies, procedures and declarations available to increase security.</p>				