

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 – 20 October 2022
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:	None

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.	RBWM is required to publish an annual governance statement in which an essential requirement is to demonstrate how it manages risk.
Not note this report. This is not recommended.	Without a suitable 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 The purpose of risk management is to analyse risks to the council and help all decision-makers get a better understanding of a realistic range of possibilities, what

drives the related associated uncertainty and hence where efforts can be best concentrated to manage this uncertainty.

2.3 The corporate risk register records the risks relating to RBWM's objectives. Our risk registers are appropriate at the point in time at which they are produced, requiring consideration be given to a broad range of potential risks and outcomes. Anything that might inhibit the way in which this is expressed would weaken the quality of decision making when determining the most appropriate response to a risk.

2.4 Risks potentially carrying the most damaging impacts on our measurement scale are classified as key risks. The inclusion of risks within any level of risk register does not mean there is an immediate problem but signifies officers are aware of potential risks and have devised strategies for the implementation of relevant mitigation measures.

2.5 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 19 May 2022. Since that report 2 key risks have been removed and 1 added.

2.5.1 Removed: security and community problems arising from the actions of disenfranchised groups and extremists. Directors consider that this exposure is not a key strategic risk. The matter nevertheless remains on the risk register at a lower assessment categorisation due to the council's responsibilities as a local leader to help ensure public safety

2.5.2 Removed: the council's exposure to the coronavirus (COVID-19) emergency. Now that all restrictions relating to the virus have been removed, officers consider it's appropriate to take this matter off the risk register.

2.5.3 Added: financial implications of the adult social care charging reforms. From October 2023, the government will increase the cap on the amount anyone in England will need to spend on their personal care over their lifetime from £23k to £86k. The council currently pays for the care of around 2,000 people – the reforms will see this number at least double, and everyone will want a Care Account in place to record their expenditure towards the cap.

2.6 Members are notified of the key risks where they are named as the risk owner typically as part of a Lead Member briefing. Officers are tasked with ensuring that any comments by Members are reflected in the assessment.

2.7 Risk reports are reviewed 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 either removed from the risk register entirely or re-categorised with a lower risk assessment. These reviews are also an opportune 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
Officers and Members are engaged in regular 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.	Risks are constantly assessed and not led by the review frequency on the risk register.	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.	Risk reviews undertaken at every key stage of the project.	Risks are constantly assessed.	None.	Ongoing until conclusion as part of project management.

4. FINANCIAL DETAILS / VALUE FOR MONEY

- 4.1 There are no explicit financial consequences arising from this report. However, risk owners need to contemplate resource implications when devising their mitigation strategies

5. LEGAL IMPLICATIONS

- 5.1 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
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<p>The council fails to make good use of risk management processes.</p> <p>Management and elected 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"> • Directors will be having the workshop discussed at Audit and Governance 22/09/22 to thoroughly review the strategic risk register. Results to be brought back to this committee as per the risk management action plan. • Risks are reviewed by risk owners, the senior management team and elected Members. • The Audit and Governance Committee provides a mechanism for examination of the process. 	LOW
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7. POTENTIAL IMPACTS

- 7.1 Equalities. An Equality Impact Assessment is available as Appendix A
- 7.2 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 matter was last presented to the Audit and Governance Committee on 19 May 2022. Consultations have taken place with Directors' Forum, Heads of Service, directorate management teams and SWAP Internal Audit.

9. TIMETABLE FOR IMPLEMENTATION

- 9.1 Not applicable

10. APPENDICES

- 10.1 This report is supported by three appendices:
- A - heat map showing assessment of current key strategic risk impact/likelihoods
 - B - detail of the key risks summarised in appendix A

11. BACKGROUND DOCUMENTS

11.1 This report is not supported by any background documents:

12. CONSULTATION

Name of consultee	Post held	Date sent	Date returned
<i>Mandatory:</i>		<i>Statutory Officers (or deputies)</i>	
Adele Taylor	Executive Director of Resources/S151 Officer		
Emma Duncan	Director of Law, Strategy & Public Health/ Monitoring Officer		
<i>Deputies:</i>			
Andrew Vallance	Head of Finance (Deputy S151 Officer)	28/09/22	12/10/22
Elaine Browne	Head of Law (Deputy Monitoring Officer)		
Karen Shepherd	Head of Governance (Deputy Monitoring Officer)		
<i>Mandatory:</i>		<i>Procurement Manager (or deputy) - if report requests approval to go to tender or award a contract</i>	
Lyn Hitchinson	Procurement Manager	n/a	
<i>Mandatory:</i>		<i>Data Protection Officer (or deputy) - if decision will result in processing of personal data; to advise on DPIA</i>	
Emma Young	Data Protection Officer	n/a	
<i>Mandatory:</i>		<i>Equalities Officer – to advise on EQiA, or agree an EQiA is not required</i>	
Ellen McManus	Equalities & Engagement Officer		
<i>Other consultees:</i>			
<i>Directors (where relevant)</i>			
Andrew Durrant	Executive Director of Place		
Kevin McDaniel	Executive Director of People Services		

Confirmation relevant Cabinet Member(s) consulted	Cabinet Member for Finance and Ascot	Yes/No
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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 - EQUALITY IMPACT ASSESSMENT

Essential information

Items to be assessed: (please mark 'x')

Strategy		Policy		Plan		Project		Service/Procedure	X
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Responsible officer	Steve Mappleby	Service area	Insurance and risk	Directorate	Resources
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Stage 1: EqlA Screening (mandatory)	Date created: 26/09/2022	Stage 2 : Full assessment (if applicable)	Date created : n/a
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Approved by Head of Service / Overseeing group/body / Project Sponsor:

"I am satisfied that an equality impact has been undertaken adequately."

Signed by (print):

Dated: xx/xx/xxxx

Guidance notes

What is an EqIA and why do we need to do it?

The Equality Act 2010 places a 'General Duty' on all public bodies to have 'due regard' to:

- Eliminating discrimination, harassment and victimisation and any other conduct prohibited under the Act.
- Advancing equality of opportunity between those with 'protected characteristics' and those without them.
- Fostering good relations between those with 'protected characteristics' and those without them.

EqIAs are a systematic way of taking equal opportunities into consideration when making a decision, and should be conducted when there is a new or reviewed strategy, policy, plan, project, service or procedure in order to determine whether there will likely be a detrimental and/or disproportionate impact on particular groups, including those within the workforce and customer/public groups. All completed EqIA Screenings are required to be publicly available on the council's website once they have been signed off by the relevant Head of Service or Strategic/Policy/Operational Group or Project Sponsor.

What are the "protected characteristics" under the law?

The following are protected characteristics under the Equality Act 2010: age; disability (including physical, learning and mental health conditions); gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation.

What's the process for conducting an EqIA?

The process for conducting an EqIA is set out at the end of this document. In brief, a Screening Assessment should be conducted for every new or reviewed strategy, policy, plan, project, service or procedure and the outcome of the Screening Assessment will indicate whether a Full Assessment should be undertaken.

Openness and transparency

RBWM has a 'Specific Duty' to publish information about people affected by our policies and practices. Your completed assessment should be sent to the Strategy & Performance Team for publication to the RBWM website once it has been signed off by the relevant manager, and/or Strategic, Policy, or Operational Group. If your proposals are being made to Cabinet or any other Committee, please append a copy of your completed Screening or Full Assessment to your report.

Enforcement

Judicial review of an authority can be taken by any person, including the Equality and Human Rights Commission (EHRC) or a group of people, with an interest, in respect of alleged failure to comply with the general equality duty. Only the EHRC can enforce the specific duties. A failure to comply with the specific duties may however be used as evidence of a failure to comply with the general duty.

Stage 1: Screening (Mandatory)

1.1 What is the overall aim of your proposed strategy/policy/project etc and what are its key objectives?

To undertake improvements to the processes for the assessment and management of the business risks of the council.

1.2 What evidence is available to suggest that your proposal could have an impact on people (including staff and customers) with protected characteristics? Consider each of the protected characteristics in turn and identify whether your proposal is Relevant or Not Relevant to that characteristic. If Relevant, please assess the level of impact as either High / Medium / Low and whether the impact is Positive (i.e. contributes to promoting equality or improving relations within an equality group) or Negative (i.e. could disadvantage them). Please document your evidence for each assessment you make, including a justification of why you may have identified the proposal as “Not Relevant”.

Protected characteristics	Relevance	Level	Positive/negative	Evidence
Age	Not relevant			<p><i>Key data: The estimated median age of the local population is 42.6yrs [Source: ONS mid-year estimates 2020].</i></p> <p><i>An estimated 20.2% of the local population are aged 0-15, and estimated 61% of the local population are aged 16-64yrs and an estimated 18.9% of the local population are aged 65+yrs. [Source: ONS mid-year estimates 2020, taken from Berkshire Observatory]</i></p> <p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Disability	Not relevant			<p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Gender re-assignment	Not relevant			<p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Marriage/civil partnership	Not relevant			<p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Pregnancy and maternity	Not relevant			<p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>

Race	Not relevant			<p><i>Key data: The 2011 Census indicates that 86.1% of the local population is White and 13.9% of the local population is BAME. The borough has a higher Asian/Asian British population (9.6%) than the South East (5.2%) and England (7.8%). The forthcoming 2021 Census data is expected to show a rise in the BAME population. [Source: 2011 Census, taken from Berkshire Observatory]</i></p> <p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Religion and belief	Not relevant			<p><i>Key data: The 2011 Census indicates that 62.3% of the local population is Christian, 21.7% no religion, 3.9% Muslim, 2% Sikh, 1.8% Hindu, 0.5% Buddhist, 0.4% other religion, and 0.3% Jewish. [Source: 2011 Census, taken from Berkshire Observatory]</i></p> <p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>
Sex	Not relevant			<p><i>Key data: In 2020 an estimated 49.6% of the local population is male and 50.4% female. [Source: ONS mid-year estimates 2020, taken from Berkshire Observatory]</i></p> <p>The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.</p>

Sexual orientation	Not relevant			The subject matter is entirely to do with how the council undertakes its business risk management processes and not the nature of the consequent risks identified.
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Outcome, action and public reporting

Screening Assessment Outcome	Yes / No / Not at this stage	Further Action Required / Action to be taken	Responsible Officer and / or Lead Strategic Group	Timescale for Resolution of negative impact / Delivery of positive impact
Was a significant level of negative impact identified?	No	None`		
Does the strategy, policy, plan etc require amendment to have a positive impact?	No	None		

If you answered **yes** to either / both of the questions above a Full Assessment is advisable and so please proceed to Stage 2. If you answered “No” or “Not at this Stage” to either / both of the questions above please consider any next steps that may be taken (e.g. monitor future impacts as part of implementation, re-screen the project at its next delivery milestone etc).

Stage 2 : Full assessment

2.1 : Scope and define

2.1.1 Who are the main beneficiaries of the proposed strategy / policy / plan / project / service / procedure? List the groups who the work is targeting/aimed at.

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2.1.2 Who has been involved in the creation of the proposed strategy / policy / plan / project / service / procedure? *List those groups who the work is targeting/aimed at.*

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2.2 : Information gathering/evidence

2.2.1 What secondary data have you used in this assessment? *Common sources of secondary data include: censuses, organisational records.*

2.2.2 What primary data have you used to inform this assessment? *Common sources of primary data include: consultation through interviews, focus groups, questionnaires.*

Eliminate discrimination, harassment, victimisation

Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					

Advance equality of opportunity

Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					

Foster good relations

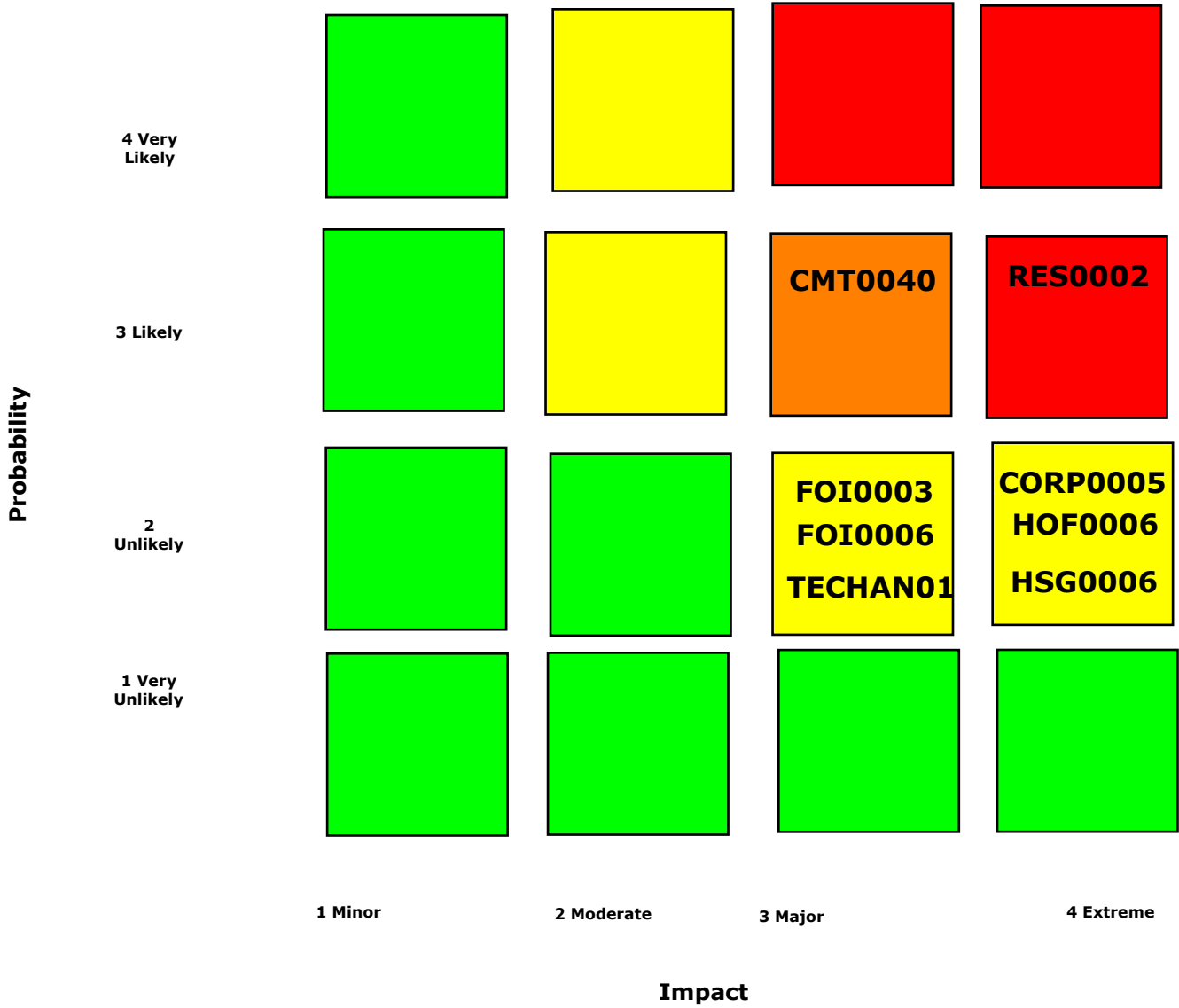
Protected Characteristic	Advancing the Equality Duty : Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact : Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					
Sex					
Sexual orientation					

2.4 Has your delivery plan been updated to incorporate the activities identified in this assessment to mitigate any identified negative impacts? If so please summarise any updates.

These could be service, equality, project or other delivery plans. If you did not have sufficient data to complete a thorough impact assessment, then an action should be incorporated to collect this information in the future.

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Appendix A – current key strategic risk assessments



Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
12	RES0002	<p>Maidenhead regeneration programme</p> <ol style="list-style-type: none"> 1. The large schemes do not commence delivery as planned leaving the town weakened as an offer with reduced footfall making it less likely investment will be attracted in the future. Potential impact on Council commercial interests as well. 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, loss of office workers and rising build costs would affect the financial viability of schemes and could result in stalled development or completed development not being as attractive/successful as planned. 3. Ensuring effective join up of sites and infrastructure delivery. With so many different sites being developed/planned there could be a long term issue of the town centre being a 'building site' so scheduling works and keeping businesses open will be critical. Similarly development of infrastructure needs to make sure it is delivered when (or before) need. 4. Funding markets do not support the quantum of development leading to delay in commencing schemes. 5. Impact on capital receipts. 	Adele Taylor (as client)	01/11/2022
9	CMT0040	<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-19 has tested all sorts of BCP, and we have responded well to this pandemic emergency challenge..</p>	David Scott	01/12/2022
8	CORP0005	<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. 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. 	Andrew Durrant	01/10/2022
8	HOF0006	<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 CTax bills is a concern. It is expected the council should soon be in a position to boost its reserves.</p> <p>Confidence level: strong degree of confidence that the assessments accurately capture the current position in risk terms. Timescale: as at Spring 2022, our aim is that within 2-3 years the impact of our mitigations will result in sufficient resilience.</p>	Andrew Vallance	17/11/2022

Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
8	HSG0006	<p>1. Lack of joint early planning between children's services, adult social care and health can potentially lead to children and young people with high needs, who will need to transition to adult services, not being identified early enough for their ongoing costs to be built into future planning/Medium Term Financial Strategy.</p> <p>2. Lack of early joint planning between children's and adult services may limit opportunities to prepare young people for adulthood and independence.</p> <p>3. Lack of sufficient accommodation in the borough often leads to young people being placed out of borough in expensive placements leading to higher costs and loss of contact with their communities.</p>	Kevin McDaniel	01/10/2022
6	FOI0003	<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>The prime threats reported to the National Cyber Security Centre over the past 12 months include ransomware, malware, social engineering and supply chain attacks.</p>	Nikki Craig	17/11/2022
6	FOI0006	<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>Adequacy status was granted to the UK in June 2021 meaning all data processing with the EU/EEA will continue as it did before EU withdrawal.</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>	Karen Shepherd	26/10/2022

Detailed Risk Information

Current Risk Rating	Risk Ref	Summary	Assigned To	Review Date
6	TECHAN01	<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>Several large consecutive and concurrent projects are scheduled for 22/23 and 23/24.</p> <p>Details are within the IT risk register of which this is a summary.</p> <p>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.</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> <p>Impacts are felt on three levels: operationally, as the council becomes unable to engage with residents; financially, as revenues are lost and remediation costs pile up; and reputationally, as people question the security of the data that's held about them.</p>	Nikki Craig	17/11/2022

Appendix B - version 2 - key strategic risks

Risk Group	Corporate plan	Risk Ref.	Trend	Description	Financial IMPAC	Legislative IMPAC	Reputation IMPAC	Service delivery IMPAC	Leach hood	Inherent risk rating	Appetite	Control/implemented or ongoing	Compliance fully developed	Current risk rating	Target risk rating	Owner	Date of last review
Key strategic risk	Inspiring places	RES2	↔	<p>Maidenhead regeneration programme</p> <ol style="list-style-type: none"> The large schemes do not commence delivery as planned leaving the town weakened as an offer with reduced football making it less likely investment will be attracted in the future. Potential impact on Council commercial interests as well. Changes in the economy, particularly influenced by Covid-19, could affect the benefits that can be realised e.g. a loss of consumer confidence, loss of office workers and rising build costs would affect the financial viability of schemes and could result in stalled development or completed development not being as attractive/successful as planned. Ensuring effective join up of sites and infrastructure delivery. With so many different sites being developed/planned there could be a long term issue of the town centre being a 'building site' so scheduling works and keeping businesses open will be critical. Similarly development of infrastructure needs to make sure it is delivered when (or before) need. Funding markets do not support the quantum of development leading to delay in commencing schemes. Impact on capital receipts. 	4	2	3	3	3	12	8	<ol style="list-style-type: none"> CPO for the Landings granted and CPO for the Nicholson Centre due October. Regular engagement via PropCo with developers, tenants and business organisations. Planning and other regulatory functions are resourced and responding in a timely manner to need. Consideration with developers and funders of the current market conditions. PropCo and specialist legal team protecting the Council's direct interests. Consideration of the Council's place making role in driving or supporting delivery. Landings on site and progressing, good progress on Shanly and Countryside Schemes as well. Any signed contracts contain minimum land values and are actively managed. Further income (average) is not expected nor in MTFS. 		12	8	Adelle Taylor (as client)	05/10/2022
Key strategic risk	Quality infrastructure	HOF6	↔	<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 CTax bills is a concern. It is expected the council should soon be in a position to boost its reserves.</p> <p>Confidence level: strong degree of confidence that the assessments accurately capture the current position in risk terms. Timescale: as at Spring 2022, our aim is that within 2-3 years the impact of our mitigations will result in sufficient resilience.</p> <ul style="list-style-type: none"> long term COVID pressures on income budgets e.g. parking, leisure. inflation pressures. Possible inflation and/or interest impacts. service pressures cannot be controlled or mitigated; reduction in income due to recession - fees/charges/interests/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. impact of changes driven by Social Care Bill (a separate risk register entry and set of mitigations exist for this risk, ref: SDCIL22) Local Government reform and funding 	4	1	3	4	4	12	8	<ol style="list-style-type: none"> Full team of business partners by Sept 22. Chief accountant and senior business partner (finance) key roles in place. Robust MTFFP in place. Approved by Cabinet 22/07/21. Cabinet approved draft 22/23 budget Nov 21. Director of resources' annual assessment of the need to retain reserves based on the key risk register financial exposures. Budget manager bi monthly forecasts proving effective and reported to cabinet alongside the finance adjusted forecast figure. Finance management has a closely monitored corporate savings tracker noted monthly at CLT and reported bi monthly to Cabinet. Annual line by line base budget review. Increased focus on monitoring debt recovery programme. 		8	8	Andrew Vallance	20/07/2022
Key strategic risk	Quality infrastructure	TECHAN1	↔	<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>Impacts are felt on three levels: operationally, as the council becomes unable to engage with residents; financially, as revenues are lost and remediation costs pile up; and reputationally, as people question the security of the data that's held about them.</p> <p>Several large consecutive and concurrent projects are scheduled for 22/23 and 23/24.</p> <p>Details are within the IT risk register of which this is a summary.</p> <p>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.</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>	3	2	3	3	4	12	6	<ol style="list-style-type: none"> Multiple data centres provides increased resilience. Line of business systems hosted either on local servers or on remote cloud hosted servers. Council networks are protected by multiple security layers using firewall and other control technologies. Modern Workplace Project completed with investment of new corporate devices to replace ageing infrastructure Physical Infrastructure controls access controls, remote access capability, environmental monitoring, generator and UPS. DDOS protection in place. Windows 10 device maintenance programme. Disk drives are configured to use RAID technology. Diverse routing of external network links supplied and supported by tier one UK network suppliers. 		6	6	Nikl Craig	05/10/2022

Appendix B - version 2 - key strategic risks

Key strategic risk	Quality infrastructure	FOI3	<p>↔ (a) Serious external IT security breaches.</p> <p>↔ (b) Data loss or damage to data caused by inadequate information security leads to delays and errors in business processes.</p> <p>The prime threats reported to the National Cyber Security Centre over the past 12 months include ransomware, malware, social engineering and supply chain attacks.</p>	3	3	3	4	4	16	6	<ol style="list-style-type: none"> 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/take action if 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. 	<ol style="list-style-type: none"> 1. Enhanced password policy to enforce industry best practice. 2. Enable multi factor authentication on Microsoft cloud services. 	6	6	Nikki Craig	05/10/2022
Key strategic risk	Thriving communities	CMT40	<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 19 has tested all sorts of BCP, and we have responded well to this pandemic emergency challenge.</p> <p>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.</p>	3	3	3	3	3	9	6	<ol style="list-style-type: none"> 1. Improve pool of EP silver or gold leaders 2. Inter authority agreement in relation to JERU in place (RBWM, WBOC and BFBK) to provide resilience with experts in the field. 3. Flood training undertaken by the CLT. 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. 	<ol style="list-style-type: none"> 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. JERU to run a BCP test in the form of a whole council exercise during 2023/2024. 4. An effective means of testing plans is being put in place including, where possible, our key contractors. 5. Develop and support community based EPs in conjunction with parish councils working in propriety order with communities 6. JERU to run a prioritisation exercise to identify corporate/council wide service function priorities once all BCPs submitted. 	9	6	David Scott	01/08/22
Key strategic risk	Quality infrastructure	CORP5	<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: * 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 highway injuries/claims against the statutory highway authority.</p>	4	2	2	4	3	12	4	<ol style="list-style-type: none"> 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. 	None	9	4	Andrew Durrant	01/08/22
Key strategic risk	Quality infrastructure	HSG6	<p>↔ 1. Lack of joint early planning between children's services, adult social care and health can potentially lead to children and young people with high needs, who will need to transition to adult services, not being identified early enough for their ongoing costs to be built into future planning/Medium Term Financial Strategy.</p> <p>↔ 2. Lack of early joint planning between children's and adult services may limit opportunities to prepare young people for adulthood and independence.</p> <p>↔ 3. Lack of sufficient accommodation in the borough often leads to young people being placed out of borough in expensive placements leading to higher costs and less of contact with their communities.</p> <p>The Children and Health Care Act 2014 contains requirement for education, health and care plans for 16-25 year olds.</p> <p>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.</p> <p>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 independent adult living.</p>	4	3	3	3	4	12	6	<ol style="list-style-type: none"> 1. Implementation of robust management controls in Optalis to manage funding packages and spend. 2. New operational procedures in place to plan and manage transitions between children's and adult services. 3. Adult social worker based in CYPDS to manage transition cases. 4. Supported housing needs assessment completed in December 2021. 5. Improved "forward look" of cases in place to inform future years' budget planning. 6. Annual transitions census day to review each case of young people >14 with additional needs to inform planning/commissioning. 	<ol style="list-style-type: none"> 1. Commissioning plan for supported housing being developed for 2022. 2. Transitions Strategy being developed. 	8	6	Kevin McDaniel	21/08/22