Appendix D - detailed key strategic risks

isk Ref	Summary	Financial	Legislativ Reputation	n Service Deliver	y Likelihood	Profile	Appetite	Controls implemented or ongoing	Controls not fully developed	Controlled Risk	Risk Owne	r Last Revie
LIM0012		Major	Moderate Moderate	Major	Very	12	medium/high	1. The team leads on the delivery of the four key	1 Develop a Climate Change Adaption Plan.	6	Andrew	29/03/23
	key areas: 1. Physical resilience - migration of and adaptation to				Likely			themes of the environment and climate strategy (approved by Cabinet 17 Dec 2020).	2• Identify investment opportunities and		Durrant	
	largely physical consequences of climate change. Children							(approved by Cabinet 17 Bee 2020).	align supply chain improvements.			
	and the elderly are highly vulnerable to such extreme							2. The team leads on the delivery of the four key				
	conditions, and existing school sites/community centres are							themes of the environment and climate strategy	3• Develop a granular view of identified risks			
	rarely designed or operated with climate change in mind.							(approved by Cabinet 17 Dec 2020).	to consider and act on exposure/impact.			
	Transition changes - greenhouse gas emissions. In April, when the world was in lockdown, daily global carbon							3• The team leads on the delivery of the four key	4. Community based discussions around			
	emissions dropped by 17% compared with the previous							themes of the environment and climate strategy	solutions to be found through partnership			
	year.							(approved by Cabinet 17 Dec 2020).	working.			
	3. Liability - actions initiated against decision making bodies							4• The team leads on the delivery of the four key	5• Introduce climate change into every			
	from people who suffer injury/loss/damage arising from climate change.							themes of the environment and climate strategy	conversation and question all decisions that			
	Opportunities to take advantage of new							(approved by Cabinet 17 Dec 2020).	have climate change consequences.			
	technologies/techniques to stop/reduce harmful activities.											
								5• The team leads on the delivery of the four key	6• Establish what value is provided from the			
	The challenge is the wider emissions from business operations in the borough which is where the Climate							themes of the environment and climate strategy (approved by Cabinet 17 Dec 2020).	Climate Change partnership to whom we make an annual financial contribution			
	Change partnership work is directed.							(approved by Cabinet 17 Dec 2020).	make an annual imaneial contribution			
								6. The team leads on the delivery of the four key	7 Develop a Climate Change Adaption			
								themes of the environment and climate strategy	Plan.			
								(approved by Cabinet 17 Dec 2020).	8• Identify investment opportunities and			
								7• The team leads on the delivery of the four key	align supply chain improvements.			
								themes of the environment and climate strategy	3 117 1			
								(approved by Cabinet 17 Dec 2020).	9• Develop a granular view of identified risks			
						8• The team leads on the delivery of the four key	to consider and act on exposure/impact.					
1T0040	Insufficient emergency response by the council. The	Extreme	Major Extreme	Extreme	Unlikely	8	medium	1• Calling on mutual aid (as part of the LRF).	1. Complete suite of discrete service bcp's.	6	Andrew	29/03/23
	outward looking position of RBWM is the key thing here								This needs urgent attention and an		Durrant	
	which includes our relationship with other emergency responders.							2• Joint Emergency Planning Unit (JEPU) contract.	improvement plan is due at SMT mid April 23.			
	responders.							3. Partnering with the JEPU & LRF as appropriate.	20.			
	There is also the impact on RBWM from failures in our links							3	2. Complete suite of discrete service bcp's.			
	with external networks and supply chains e.g. impact of							4• Training, lessons learnt and emergency planning				
	local or global political unrest, any failure in the integrity for gas/electric/other utilities on which the council relies esp. re:							sessions.	improvement plan is due at SMT mid April 23.			
	vulnerable people.							5. Clear management of third party service delivery				
								arrangements specifically procurement,	3. Complete suite of discrete service bcp's.			
	This could lead to residents being without the necessary							commissioning and contract management.	This needs urgent attention and an			
	assistance and increased financial impact on RBWM should a critical event occur.							6• Testing our civil resilience response for: flooding	improvement plan is due at SMT mid April			
	a critical event occur.							risk, high profile asset sites, broader climate change				
	Underdeveloped and untested business continuity planning							response (where pos).	4. Complete suite of discrete service bcp's.			
	may reduce the ability of the council to provide critical							- 0 W	This needs urgent attention and an			
	functions in the event of emergency situation and put strain on sustaining council services in crisis situations.							7• Calling on mutual aid (as part of the LRF).	improvement plan is due at SMT mid April 23.			
	on sustaining countries services in trible situations.							8• Joint Emergency Planning Unit (JEPU) contract.				
								o , o , ,	5• Complete suite of discrete service bcp's.			
								9• Partnering with the JEPU & LRF as appropriate.				
								10• Training, lessons learnt and emergency	improvement plan is due at SMT mid April 23.			
								planning sessions.	20.			
								. •	6• Complete suite of discrete service bcp's.			
								11• Clear management of third party service	This needs urgent attention and an			
								delivery arrangements specifically procurement,	improvement plan is due at SMT mid April			
								commissioning and contract management	23			

CORP0007	Uncertainty around the viability and delivery of major schemes and commercial projects involved in regeneration across the entire borough.	Moderate Major	Major l	Inlikely	6		idrew irrant	29/03/23
	The change in values of the gilt market (UK government					2• Appraisal of all our projects so there's complete understanding of each individual scheme.		
	bonds) affects investment in projects. This would affect a regeneration programme as there would be far less capital receipts involved for our biggest commercial projects. The timeliness of receiving capital receipts for these would also					3• Prop Co's risk register details regeneration risks with joint venture partners (and other activity). Quarterly board review.		
	be affected.					4• Ensure the intelligence on each development is		
	Leads to: Increased costs from the impact of building costs inflation. Increased cost of borrowing to developers.					as wide as possible. 5• Appraisal of all our projects so there's complete		
						understanding of each individual scheme. 6• Prop Co's risk register details regeneration risks		
						with joint venture partners (and other activity). Quarterly board review.		
						7• Ensure the intelligence on each development is as wide as possible.		
						8• Appraisal of all our projects so there's complete understanding of each individual scheme.		
						9• Prop Co's risk register details regeneration risks with joint venture partners (and other activity). Quarterly board review		
HOF0006	The council's financial strategy needs to be effective in dealing with pressures. If it isn't, there is the risk of a material impact on the council's financial sustainability.	e Minor Moderate	e Major l	Inlikely	8		llance	13/06/23
	The CIPFA action plan along with a robust MTFS and					3• Annual line by line base budget review.		
	improved budget management (as detailed in the last three budgets) have stabilised matters. Addressing the impact of several years of low CTax bills is a concern. The council					4• Reconstruct MTFS and align to corporate plan.		
	has begun boosting its reserves.					5• Increased focus on monitoring debt recovery programme.		
	Confidence level: strong degree of confidence that the assessments accurately capture the current position in risk terms.					6• Unrealised capital receipts are not to be committed to spending.		
	Timescale: as at Summer 23 our aim is that within 1-2 years the impact of our mitigations will result in sufficient resilience, as the general reserve reaches an optimum					7• Continue to make improvements to budget build. Embed business partner arrangements.		
	level.					8• 5 year savings plans commencing 2021. A further 5 yr plan presented to September 2022 Council.		
						9• Management has a closely monitored corporate savings tracker noted monthly at ELT and Cabinet briefing.		
						10• MTFP scheduled for July Cabinet. Strategic business plan process presented at Cabinet briefing w/c 12/06/23.		

HOF0015	Fraud and corruption leads to loss of council resources. Loss of confidence in the organisation from residents and elected members.	Moderate Moderate Moderate	Moderate Unlikely	4	low	 Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies. 	1• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.	4	Andrew Vallance	13/06/23
	As an organisation, the council is committed to having effective anti-fraud and corruption policies designed to: - Encourage prevention; - Promote detection;					2• May 23 SWAP fraud risk assessment on all services with potential exposure. Inherent and residual risk rated to steer next steps.	2• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
	- Fromote detection, - Ensure effective investigation where suspected fraud or corruption has occurred; - Prosecute offenders where appropriate.					3• Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies.	3• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
						4• May 23 SWAP fraud risk assessment on all services with potential exposure. Inherent and residual risk rated to steer next steps.	4• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
						5• Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies.	5• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
						6• May 23 SWAP fraud risk assessment on all services with potential exposure. Inherent and residual risk rated to steer next steps.	6• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
						7• Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies.	7• SWAP to assist with next steps re: fraud exposures for services identified as having highest residual risk rating.			
HR0025	IT infrastructure failure i.e. data storage infrastructure, systems access or total loss of council data centre.	Extreme Minor Moderate	Extreme Unlikely	8	low	8• May 23 SWAP fraud risk assessment on all 1• DDoS protection in place.	SWAP to assist with next stens re: fraud Enable multi-factor authentication on Microsoft cloud services.	3	Nikki Craig	13/06/23
	Causes: - Single point(s) of failure across network hardware and broadband infrastructure that could cause loss of service to one or more sites if failure occurs.					Disk drives are configured to use RAID technology. Multiple data centres provides increased	2• Cyber policy is being externally reviewed 6-9/03/23, an annual check resourced from ring fenced LGA grant fund.			
	 External cyber threats e.g. distributed denial of service (DDoS) attacks. Loss/damage/denial of access to primary, secondary or hosted data centres. 					resilience. 4• Enhanced password policy to enforce industry best-practice.	3• Create and apply a robust exit strategy with accountabilities when staff leave the organisation or return surplus IT equipment.			
	- 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.					5• Secure remote working with computers, encrypted area for sensitive laptop data.	4• Enable multi-factor authentication on Microsoft cloud services.			
	Cyber-crime and/or corruption of data, breach of privacy/confidentiality (DPA, GDPR) caused by inadequate					6• Line of business systems hosted either on local servers or on remote cloud-hosted servers.	5• Cyber policy is being externally reviewed 6-9/03/23, an annual check resourced from ring fenced LGA grant fund.			
	information security. The prime threats reported to the National Cyber Security Centre over the past 12 months include ransomware, malware, social engineering and supply chain attacks.					7- DPO/SIRO to check and take action when inappropriate external transmissions of data are reported.	6 • Create and apply a robust exit strategy with accountabilities when staff leave the organisation or return surplus IT equipment.			
	The capacity of the organisation is inadequate to deal with the pace/scale of technological change or our ability to use technology to address changing demand. Obsolescence /					8• Diverse routing of external network links supplied and supported by tier-one UK network suppliers.	7• Enable multi-factor authentication on Microsoft cloud services.			
	incompatibility of technology and integration of older systems.					9• Appointment of solutions architect who's activity will include penetration testing to check defences.	8• Cyber policy is being externally reviewed 6-9/03/23, an annual check resourced from ring fenced LGA grant fund.			
	This could lead to the inability of RRWM to function					10• Rusiness continuity/disaster recovery All			ı	

HR0026	Workforce stability is threatened because pay scales offered RBWM are perceived as being significantly adrift	Moderate Moderate Moderate	Major Likely	9	low	1• Annual pay negotiations with Unions undertaken.	1• CEO to sign off recruitment strategy.	3	Stephen Evans	13/06/23
	from other local authorities, both locally and nationally.					2• Flexible and hybrid working arrangements supported.	2• Continual review of terms and conditions and further national benchmarking.		Evans	
	Loss of key staff from impacts of winter flu. Leads to significant challenge in recruiting particularly in					3• Comprehensive benefits and wellbeing packages in place.	3• CEO to sign off recruitment strategy.			
	hard to fill roles given the corresponding impact of the general increase in the cost of living.					4• Benchmarking data collected annually around hard to fill posts.	4• Continual review of terms and conditions and further national benchmarking.			
	This will lead to problems around service delivery and the attendant effects on our reputation and meeting legislative					5• Provision for salary increases made in the	5• CEO to sign off recruitment strategy.			
	demands.					medium term financial plan.	6• Continual review of terms and conditions and further national benchmarking.			
						6• Use of salary gateways where appropriate and revisions to posts with a view to attracting suitably qualified candidates.	7• CEO to sign off recruitment strategy.			
						7• Annual pay negotiations with Unions undertaken.	8• Continual review of terms and conditions and further national benchmarking.			
						8• Flexible and hybrid working arrangements	9• CEO to sign off recruitment strategy.			
						supported.	10• Continual review of terms and conditions and further national			
						9• Comprehensive benefits and wellbeing packages in place.	benchmarking.			
						10• Benchmarking data collected annually around	11• CEO to sign off recruitment strategy.			
POLPER00 20	Failure to secure best value in terms of service delivery. This relates to large contracts within people services along with highways, waste and property contracts.	Extreme Moderate Moderate	Major Unlikely	8	low/medium	hard to fill nosts 1 • Change control mechanisms in place across all contracts.	12• Continual review of terms and 1• Improve commercial management skills and capacity to assist services. Potential invest to save bid.	4	Andrew Vallance	20/06/23
	Poor contract management processes including					2• Exit clauses/strategies negotiated and in place across all contracts.	2• Implementing audit recommendations.			
	procurement and re-procurement. The contract management process is not centralised. Improvements in					3• Robust governance arrangements at Member	This is to include new contract management framework by 31 March 2024.			
	this area are a priority in the CIP					and officer levels in place and operating.	3• Improve governance on the existing			
	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					4• Quarterly and monthly contract meetings with Volker, quarterly commissioning reviews with Optalis and AfC	system of decentralised contract management as part of corporate improvement plan.			
	demand or poor performance.					5• HIghways - published HMMP risk based as per	4• Improve commercial management skills			
	Leads to: - Statutory services for children and adults not delivered.					2018 Code of Practice to show our rationale in case of legal challenge to a claim.	and capacity to assist services. Potential invest to save bid.			
	Resident facing community services, such as highways or waste collection, not delivered. Reputational damage to the council. Potential risks to public health.					6• Change control mechanisms in place across all contracts.	5• Implementing audit recommendations. This is to include new contract management framework by 31 March 2024.			
	Vulnerable adults and children may be left more at risk. Problems in maintaining the streetscene to a safe level					7• Exit clauses/strategies negotiated and in place across all contracts.	6• Improve governance on the existing			
	leading to highways injuries/claims against the Statutory highway authority.					8• Robust governance arrangements at Member and officer levels in place and operating.	system of decentralised contract management as part of corporate improvement plan.			
						9• Quarterly and monthly contract meetings with Volker, quarterly commissioning reviews with Ontalis and AfC.	7• Improve commercial management skills and capacity to assist services. Potential invest to save bid			

POLPER00 New legislation not responded to in a timely manner, broad of statute e.g. equality compliance, DDA.	each Major Moderate Moderate Extreme	Very Unlikely	4	low	1• HOS and managers keep up to date with developments in their service areas.	4	Elaine Browne	29/03/23
Inadequate response to new legislation, intervention by regulatory bodies and inspectorates, Judicial Reviews, HRA, DDA, GDPR, HASAWA etc. breaches		·			2• Officers must take legal advice on decisions as part of standard practice on reports.			
Leads to intervention by regulatory bodies and inspectorates, Judicial Reviews, HRA, DDA, GDPR,					3• In house legal team lawyers keep abreast of legislative changes and cascade as necessary.			
HASAWA etc. Reputation damage and loss of confidence by residents					4• HOS and managers keep up to date with developments in their service areas.			
partners.					5• Officers must take legal advice on decisions as part of standard practice on reports.			
The council cannot make satisfactory public report by w of AGS on the extent to which it complies with its own to code of governance.	ay ıcal				6• In house legal team lawyers keep abreast of legislative changes and cascade as necessary.			
					7• HOS and managers keep up to date with developments in their service areas.			
					8• Officers must take legal advice on decisions as part of standard practice on reports.			
					9• In house legal team lawyers keep abreast of legislative changes and cascade as necessary.			
RBWM0016 Impact of winter flu and possible future pathogen varian	ts. Extreme Moderate Moderate Extreme	Likely	12	medium	10• HOS and managers keep up to date with developments in their service areas 1• RBWM Outbreak Control Plan.	8	Stephen	29/03/23
There is nothing to suggest that future pathogen variant will be any less problematic than Covid-19. The current scientific advice is that a pandemic outbreal	s k is	Linely	12	medidiii	2• There is an extensive COVID risk register in support of the controls and detailed threats (contents a Part 2 matter).	· ·	Evans	29/03/23
highly likely to occur in the next 5-10 years. Confidence this projection is informed by improved analysis of great accuracy around mining animal health data where these infections begin.	er				3• Critical incident plans: postpone some non- urgent operations. Priority is that beds are available for seriously ill patients.			
Leads to: - Significant ongoing pressure on local national health					4• RBWM Outbreak Control Plan.			
services. A critical incident has therefore been reported across the Frimley Health and Care Integrated Care System.					5• There is an extensive COVID risk register in support of the controls and detailed threats (contents a Part 2 matter).			
 Winter flu might be more damaging to certain parts of a local community. Loss of key staff and reduced service resilience to the impacts of absence. 					6• Critical incident plans: postpone some non- urgent operations. Priority is that beds are available for seriously ill patients.			
Much of the control is outside the ability of the council b this shouldn't mean that the exposure to the risk isn't	ut				7• RBWM Outbreak Control Plan.			
significant. Note the current risk rating and appetite met will vary depending on the area of impact. Thus the valu depicted here should be read with that in mind.					8• There is an extensive COVID risk register in support of the controls and detailed threats (contents a Part 2 matter).			
					9• Critical incident plans: postpone some non- urgent operations. Priority is that beds are available for seriously ill natients			

RBWM0018 Change of political control affects strategic direction of RBWM. Even if the current political party remains in overall control it is likely that many of the elected members will be	Moderate Moderate Major	Major	Very Unlikely	3	low	1• Brief and engage with opposition groups during the life of the administration.		3	Stephen Evans	29/03/23
new to the authority.						2• Management teams working with political				
						leaders in advance of financial announcements in				
Equivocation from ministers, lack of clear policy from central government and/or insufficient investment in public						manifestos.				
government and/or insufficient investment in public services.						3. Any transition will be managed with the various				
						stakeholders to keep the organisation on course				
Leads to lack of confidence in the council from its						and to keep those stakeholders c				
partners/staff and short term funding problems arising from new cost burdens from central government.						4• Brief and engage with opposition groups during				
non cost sal acite non contain go to minoria						the life of the administration.				
						E. Managaran A. Angaran and A. Angar				
						5• Management teams working with political leaders in advance of financial announcements in				
						manifestos.				
						6• Any transition will be managed with the various stakeholders to keep the organisation on course				
						and to keep those stakeholders c				
						7• Brief and engage with opposition groups during the life of the administration.				
						the life of the daministration.				
						8• Management teams working with political				
						leaders in advance of financial announcements in manifestos.				
SDCHIL002 Major safeguarding issue has the potential to arise from a number of areas including:	Major Major Major	Major	Unlikely	6	low/medium	 Adult safeguarding core groups meet weekly/fortnightly to assess risk. 	1• Preparation for CQC inspection of adult services underway, will be informed by	6	Kevin McDaniel	29/03/23
- Pressure in the health system is passed onto the care						weekly/fortingfuly to access flox.	DoHSC national framework (currently draft		and Lin	
system.						2• Training and supervision of internal social care	stage).		Ferguson	
 Financial pressures increase the complexity for some residents and families. 						staff in adult safeguarding.	2• Preparation for CQC inspection of adult			
- Exploitation of vulnerable people and children.						3• Adults implementing QA and Quality Assurance	services underway, will be informed by			
·						process to prepare for CQC inspection.	DoHSC national framework (currently draft			
This is extended by a potential lack of intelligence around						4• In the event of a significant incident a	stage).			
emerging risk areas.						safeguarding case review will investigate.	3• Preparation for CQC inspection of adult			
Leads to:							services underway, will be informed by			
- Significant and preventable harm/death to vulnerable						5• Business plan stipulating the activity of the service to specifically mitigate safeguarding risk.	DoHSC national framework (currently draft stage).			
people Reputation damage to the council.						service to specifically fillingate safeguarding fisk.	stage).			
- Local partners lose confidence						6. Revised adult and childrens safeguarding	4. Preparation for CQC inspection of adult			
- Ofsted / CQC rating drops impacting workforce and the						partnership arrangements implemented with	services underway, will be informed by			
expense of reinstating confidence is very costly.						external scrutineers engaged throughout.	DoHSC national framework (currently draft stage).			
Implemented controls are all monitored via quarterly						7• Performance management of adult safeguarding	• ,			
commissioning reviews with Optalis and AfC, and via						referrals & investigations. If needed, can lead to	5• Preparation for CQC inspection of adult			
safeguarding partnership shared with TVP and ICB.						change of provider/practice.	services underway, will be informed by DoHSC national framework (currently draft			
						8• Known risk areas strategies incl. CSE.	stage).			
						Community Safety Partnership leadership of County				
						Lines agenda. Includes info sharing.	6• Preparation for CQC inspection of adult services underway, will be informed by			
						9• Multi-agency safeguarding hub (MASH)	DoHSC national framework (currently draft			
						strengthens response to children and voung people	stane)			

SDCHII 003 T	he cost of living crisis results in increased levels of debt,	Moderate Moderate Moderate	Moderate	Likely	6	low/modium	1• HSF pilot well established.		6	Kevin	29/03/23
6 cr	ne dost of infinigations results in infinite access levels of uebt, ommunity tension, and anti-social behaviour while there is educed voluntary support and restricted preventative and arly intervention from services.	Moderate Moderate Moderate	Woderate	Likely	0	iow/medium	Active communication about ways of getting support (Here to Help).		6	McDaniel	29/03/23
se th	his could lead to significant spikes in demand for support ervices and reactive services across the public sector. For ne council, attempts to manage demand may be a struggle						3• Engagement with voluntary sector to support with pilot Household Support scheme in Q4 of 22/23 ahead of whole year approach				
W	vith increased financial pressures.						4• HSF pilot well established.				
							5• Active communication about ways of getting support (Here to Help).				
							6• Engagement with voluntary sector to support with pilot Household Support scheme in Q4 of 22/23 ahead of whole year approach				
							7• HSF pilot well established.				
							8• Active communication about ways of getting support (Here to Help).				
							9• Engagement with voluntary sector to support with pilot Household Support scheme in Q4 of 22/23 ahead of whole year approach				
							10• HSF pilot well established.				
7 si	Mental Health crisis accelerates with impact on RBWM to upport consequences e.g. demand pressures on scare asources.	Major Moderate Moderate	Major	Likely	9	low	1• Develop "Mental Health in School" teams across the borough	1• Public health strategy alignment. Progress in Frimley ICB.	3	Kevin McDaniel	29/03/23
Т	o some degree brought about by gradual but significant hanges in societal arrangements i.e. a greater number of						2• Promote wellbeing and self-care options through public health and comms channels.	2• One MHST team in Windsor cluster, ICB and NHSE plan to deliver all teams by 2025.			
	esidents living alone.						services prioritise mental health services.	3• Exec Director of People on ICP, influencing strategic plan due for submission to NHSE by end of 2022.			
							4• Develop "Mental Health in School" teams across the borough	4• Public health strategy alignment. Progress in Frimley ICB.			
							5• Promote wellbeing and self-care options through public health and comms channels.	5• One MHST team in Windsor cluster, ICB and NHSE plan to deliver all teams by 2025.			
							6• Engage with ICB and ICP to ensure that health services prioritise mental health services.	6• Exec Director of People on ICP, influencing strategic plan due for submission			
							7• Develop "Mental Health in School" teams across the borough	to NHSE by end of 2022.			
							8• Promote wellbeing and self-care options through public health and comms channels.	7• Public health strategy alignment. Progress in Frimley ICB.			
							•	8• One MHST team in Windsor cluster, ICB and NHSE plan to deliver all teams by 2025.			
							10• Develop "Mental Health in School" teams across the horough	9• Exec Director of People on ICP, influencing strategic plan due for submission to NHSF by end of 2022			