

Appendix B: Current key strategic risks with main mitigations in place/in progress

Risk	Directorate	Q1 rating	Q2 rating	Target	Direction	Last review date
<p>CLIM12 - Climate change – extreme weather conditions, carbon emissions.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Climate strategy approved Dec 2020. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> Develop a Climate Change Adaption plan. 	Executive Director Place	12	12	9	Static	29/03/23
<p>HOF6 - Financial strategy does not deal sufficiently with pressures.</p> <p>The council's financial strategy needs to be effective in dealing with pressures. Addressing the impact of several years of low CTax bills is still a major concern. Although the council has increased its reserves up to £10m over the last two years, they are still low compared to other unitary councils.</p> <p>In September 23 the council has a forecast overspend in the current financial year of around £6m and a predicted budget gap for 2024/25 of £7m.</p> <p>Together these would exhaust the council's reserves. It's essential that the council finds additional income or savings in the current budget round to achieve a sustainable balanced budget.</p> <p>Key mitigations in place:</p>	Executive Director Resources	12	16	8	Rating metric restated ¹	24/10/23

¹ The risk is rated higher than Q1 due to it not being recognised fully and therefore understated, as distinct from the exposure worsening since that point.

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<ul style="list-style-type: none"> Monthly budget updates noted at ELT and Cabinet briefing. MTFP and forecast 24/25 budget gap noted at July Cabinet. Strategic business plan process presented at Cabinet briefing June 23. From October, all non-essential spend will therefore require approval via a Spending Control Panel before new goods and services are purchased or new recruitment takes place. All budget challenge sessions culminated in member review. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> Assess outcomes from the star chamber sessions. 						
<p>SDCHIL25 - Major safeguarding issue leads to significant and preventable harm/death to vulnerable people.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> MASH strengthens response to children and young people at risk of significant harm incl. CSE. Service's business plan specifically addresses mitigating safeguarding risk. Revised adult and children's safeguarding partnership arrangements implemented with external scrutineers engaged throughout. 	Executive Director of Adult Social Care & Health/ Executive Director Children's Services and Education	6	6	6	Target achieved	29/03/23
CMT40 – RBWM cannot operate during an emergency or provide support to residents.	Executive Director Place	8	8	6	Static	26/09/23

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Key mitigations in place: <ul style="list-style-type: none"> Joint Emergency Planning Unit contract. Key mitigations in progress: <ul style="list-style-type: none"> Complete a suite of discrete service business continuity plans 						
CORP7 - Uncertainty around major schemes and commercial projects. Key mitigations in place: <ul style="list-style-type: none"> Prop Co's risk register details regeneration risks with joint venture partners with quarterly board review. Appraisal of all our projects so there's complete understanding of each individual scheme. Introduction of improved governance for Prop Co including creation of new Sharehold Panel to hold company to account. 	Executive Director Place	6	6	6	Target achieved	29/03/23
HOF15 - Fraud and corruption leads to loss of council resources. Key mitigations in place: <ul style="list-style-type: none"> Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies. Key mitigations in progress: <ul style="list-style-type: none"> Assess counter-fraud resource options best suited to the council following up from SWAP risk assessment exercise summer 23. 	Executive Director Resources	4	4	4	Target achieved	24/10/23

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<p>HR25 - IT infrastructure failure, cyber-crime, technological change.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Secure remote working. Networks protected by multiple security layers using firewall and other control technologies. Multiple data centres provide increased resilience. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> Go through cyber policy following external review. 	Executive Director Resources	8	8	3	Static	31/10/23
<p>HR26 – Maintaining workforce stability. Problems in recruitment and retention of staff.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Provision for salary increases in MTFP. Salary gateways where appropriate. Consider revisions to posts to attract suitably qualified candidates. <p>Key mitigations in progress</p> <ul style="list-style-type: none"> "HR Manager - Recruitment and Retention" to work with senior managers to develop strategies to reduce agency spend. Continual review of terms and conditions and further national benchmarking. 	Chief Executive	9	9	3	Static	31/10/23
<p>POLPER20 - Failure to secure best value for contracted services.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Change control mechanisms. 	Executive Director Resources	8	8	4	Static	24/10/23

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<ul style="list-style-type: none"> Exit clauses/strategies negotiated. Robust governance arrangements at Member and officer levels. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> Improve commercial management skills and capacity to assist services. Improve governance on decentralised contract management. 						
<p>POLPER21 - Legislation not responded to effectively leads to external intervention.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Assistant directors/managers keep up to date with service developments Legal advice on decisions is a mandatory part of our report writing mechanism. 	Executive Director Resources	4	4	4	Target achieved	24/10/23
<p>SDCHIL29 - Impact of winter flu and possible future pathogen variants.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> RBWM Outbreak Control Plan. Hospitals have critical incident plans e.g., postpone non-urgent operations. Priority that beds are available for seriously ill patients. 	Executive Director of Adult Social Care & Health	16	12	8	Improving	21/09/23
<p>SDCHIL26 - Cost of living crisis - increased levels of debt, community tension, anti-social behaviour.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> HSF pilot well established. 	Executive Director of Adult Social Care & Health	6	6	6	Target achieved	28/06/23

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<ul style="list-style-type: none"> Active communication about ways of getting support (Here to Help). Engagement with voluntary sector to support with Household Support scheme. 						
<p>SDCHIL27 – A potential increase in residents suffering complex mental health disorders could impact on RBWM to support the consequences.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Engage with ICB and ICP to ensure that health services prioritise mental health services. Develop "Mental Health in School" teams across the borough <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> Public health strategy alignment. Progress in Frimley ICB. 	Executive Director of Adult Social Care & Health	9	9	3	Static	28/06/23
<p>New for Qtr 2 ELEC02 - Failures in running an election leads to loss of confidence by electorate in RBWM.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> Mandatory training for staff involved. Guidance provided by the Electoral Commission incl. polling station, verification and count centre risks. Election project group chaired by the RO, comprising senior officers. Group maintains an elections project risk register. 	Deputy Director of Law and Governance		3	3	New strategic risk	24/10/23

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<p>New for Qtr 2 HOUS03 - Increasing migration and movement of people placed in local hotels could result in an increased demand on RBWM's critical front-line services.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> • Local Berkshire and national meetings to ensure RBWM is notified of when asylum seekers are appearing. • Work with the Home Office, Clearsprings etc to try and find a solution to growing numbers of asylum seekers in hotels. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> • Improve early notification process by having access to the asylum placement information portal. • Recognised budget pressures and reflect in MTFP. 	<p>Executive Director of Adult Social Care & Health/ Executive Director Children's Services and Education Executive Director of Place</p>		9	3	New strategic risk	31/10/23
<p>New for Qtr 2 – financial implications arising from the state of the social care market and demand pressures.</p> <p>Key mitigations in place:</p> <ul style="list-style-type: none"> • Implementation of robust management controls in Optalis to manage funding packages and spend. <p>Key mitigations in progress:</p> <ul style="list-style-type: none"> • Transitions strategy. • Commissioning plan for supported housing 	<p>Executive Director of Adult Social Care & Health/ Executive Director Children's Services and Education</p>		9	6	New strategic risk	n/a