Risk Ref	Summary	Financial	Legislativ	Reputation	Service Delivery	Likelihood	Current rating	Appetite	Controls implemented or ongoing	Controls not fully developed	Controlled Risk	Risk Owner	Last Review Date
CLIM0012	The impact of climate change may be captured under four key areas: 1. Physical resilience - migration of and adaptation to largely physical consequences of climate change. Children and the elderly are highly vulnerable to such extreme conditions, and existing school sites/community centres are rarely designed or operated with climate change in mind. 2. Transition changes - greenhouse gas emissions. In April, when the world was in lockdown, daily global carbon emissions dropped by 17% compared with the previous year. 3. Liability - actions initiated against decision making bodies from people who suffer injury/loss/damage arising from climate change. 4. Opportunities to take advantage of new technologies/techniques to stop/reduce harmful activities. The challenge is the wider emissions from business operations in the borough which is where the Climate Change partnership work is directed.	Major	Moderate	Moderate	Major	Very Likely	12	medium/high	1. The team leads on the delivery of the four key themes of the environment and climate strategy (approved by Cabinet 17 Dec 2020).	1. Develop a Climate Change Adaption Plan. 2. Identify investment opportunities and align supply chain improvements. 3. Develop a granular view of identified risks to consider and act on exposure/impact. 4. Community based discussions around solutions to be found through partnership working. 5. Introduce climate change into every conversation and question all decisions that have climate change consequences. 6. Establish what value is provided from the Climate Change partnership to whom we make an annual financial contribution	6	Andrew Durrant	29/03/23
CMT0040	Insufficient emergency response by the council. The outward looking position of RBWM is the key thing here which includes our relationship with other emergency responders. 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. This could lead to residents being without the necessary assistance and increased financial impact on RBWM should a critical event occur. Underdeveloped and untested business continuity planning may reduce the ability of the council to provide critical functions in the event of emergency situation and put strain on sustaining council services in crisis situations.	Extreme	Major	Extreme	Extreme	Unlikely	8	medium	1• Calling on mutual aid (as part of the LRF). 2• Joint Emergency Planning Unit (JEPU) contract and partnering with the JEPU & LRF as appropriate. 3. The generator at Tinkers Lane is extended to provide wider back up to support greater emergency use of the depot. 4. Training, lessons learnt and emergency planning sessions. 5. Clear management of third party service delivery arrangements specifically procurement, commissioning and contract management. 6. Testing our civil resilience response for: flooding risk, high profile asset sites, broader climate change response (where pos). 7. Waste suppliers have confirmed their processes and arrangements in the event of severe weather. 8. Event plans are in place to cover various state occasions. Operational plans details officers and responsibilities.	1. All services that have yet to complete a BCP will be asked to do so, with support from the JEPU, where necessary. 2. All services that have yet to complete a Business Impact Analysis will do so, with support from the JEPU, where necessary. 3. Once all services have completed their service BCPs and BIAs, JEPU will update the corporate BCP and present to ELT for approval. 4. JEPU to run a BCP test in the form of a whole-council exercise during 2023-2024.	6	Andrew Durrant	26/09/23
CORP0007	Uncertainty around the viability and delivery of major schemes and commercial projects involved in regeneration across the entire borough. The change in values of the gilt market (UK government 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 be affected. Leads to: Increased costs from the impact of building costs inflation. Increased cost of borrowing to developers.	Major	Moderate	Major	Major	Unlikely	6	low/medium	1. Ensure the intelligence on each development is as wide as possible. 2. Appraisal of all our projects so there's complete understanding of each individual scheme. 3. Prop Co's risk register details regeneration risks with joint venture partners (and other activity). Quarterly board review.		6	Andrew Durrant	29/03/23

Ref	Risk							Likelihood	Score	Rating	Controls	Actions	Residual Score	Owner	Date
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. The CIPFA action plan along with a robust MTFS and improved budget management (as detailed in the last three budgets) had stabilised matters. However, addressing the impact of several years of low CTax bills is still a major concern. The council has boosted its reserves up to £10m over the last two years. 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. Together these would exhaust the council's reserves. Strategic business plan process presented at Cabinet briefing June 23. MTFP and forecast 24/25 budget gap noted at July Cabinet. Confidence level in stated position: high.	Extreme	Extreme	Major	Extreme		Very likely	16	medium	1. New monthly budget monitoring process introduced: performance & resources board; ELT review; then presented to Cabinet briefing. 2. From October, all non-essential spend is approved via a Spending Control Panel before new goods and services can be purchased or new recruitment takes place. 3. Departmental "star chambers" undertaken in September and October 23 to identify opportunities for savings or additional income. 4. Unrealised capital receipts are not to be committed to spending. 5. Increased focus on monitoring debt recovery programme and additional resources allocated to debt recovery. 6. Annual line by line base budget review.	1. Assess outcomes from the star chamber sessions. 2. Budget challenge sessions in every service will culminate in member review.	8	Andrew Vallance	24/10/23
HOF0015	Fraud and corruption leads to loss of council resources. Loss of confidence in the organisation from residents and elected members. As an organisation, the council is committed to having effective anti-fraud and corruption policies designed to: - Encourage prevention; - Promote detection; - Ensure effective investigation where suspected fraud or corruption has occurred; - Prosecute offenders where appropriate.	Moderate	Moderate	Moderate	Moderate		Unlikely	4	low	1. Strong protocols in place including anti-money laundering, prevention of bribery and anti-corruption policies. 2. May 23 SWAP fraud risk assessment on all services with potential exposure. Inherent and residual risk rated to steer next steps.	1. Assess counter-fraud resource options best suited to the council following up from SWAP risk assessment exercise summer 23.	4	Andrew Vallance	24/10/23
HR0025	IT infrastructure failure i.e. data storage infrastructure, systems access or total loss of council data centre. 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. - 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. Cyber-crime and/or corruption of data, breach of privacy/confidentiality (DPA, GDPR) caused by inadequate 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. Artificial intelligence is also being used to automate attacks, scan surfaces, and generate realistic-looking phishing content. 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 / incompatibility of technology and integration of older systems.	Extreme	Minor	Moderate	Extreme		Unlikely	8	low	1. Mandatory annual security induction and standardised refresher training embedded in HR and appraisal processes. 2. Business continuity/disaster recovery. All services' IT usage understood. 3. Network redesign & broadband procurement removes single failure points. Diverse connections & hardware failover adds resilience. 4. Secure remote working with computers, encrypted area for sensitive laptop data. 5. Line of business systems hosted either on local servers or on remote cloud-hosted servers. 6. Council networks are protected by multiple security layers using firewall and other control technologies. 7. Multiple data centres provides increased resilience. 8. Diverse routing of external network links supplied and supported by tier-one UK network suppliers. 9. Enhanced password policy to enforce industry best-practice.	1. Go through cyber policy following March 23 review. 2. Two policies in progress re: equipment return (IT Asset Managemet policy and User Access Management policy) which detail the exit strategy/ accountabilities and automating as much as possible.	3	Nikki Craig	31/10/23
HR0026	Workforce stability is threatened because pay scales offered RBWM are perceived as being significantly adrift from other local authorities, both locally and nationally. Loss of key staff from impacts of winter flu. Leads to significant challenge in recruiting particularly in hard to fill roles given the corresponding impact of the general increase in the cost of living. This will lead to problems around service delivery and the attendant effects on our reputation and meeting legislative demands.	Moderate	Moderate	Moderate	Major		Likely	9	low	1. Annual pay negotiations with Unions undertaken. 2. Flexible and hybrid working arrangements supported. 3. Comprehensive benefits and wellbeing packages in place. 4. Benchmarking data collected annually around hard to fill posts. 5. Provision for salary increases made in the medium term financial plan. 6. Use of salary gateways where appropriate and revisions to posts with a view to attracting suitably qualified candidates.	1. "HR Manager - Recruitment and Retention" to work with senior managers to develop strategies to reduce agency spend. 2. Continual review of terms and conditions and further national benchmarking.	3	Stephen Evans	31/10/23

Ref	Risk Description				Likelihood	Score	Rating	Controls	Actions	Target	Owner	Date
POLPER020	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. Poor contract management processes including procurement and re-procurement. The contract management process is not centralised. Improvements in this area are a priority in the CIP 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: - 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.	Extreme	Moderate	Moderate	Major	Unlikely	**8** (yellow)	low/medium	1. Change control mechanisms in place across all contracts. 2. Exit clauses/strategies negotiated and in place across all contracts. 3. Robust governance arrangements at Member and officer levels in place and operating. 4. Quarterly and monthly contract meetings with Volker, quarterly commissioning reviews with Optalis and AfC 5. HIghways - published HMMP risk based as per 2018 Code of Practice to show our rationale in case of legal challenge to a claim.	1. Improve commercial management skills and capacity to assist services. Potential invest to save bid. 2. Implementing audit recommendations. This is to include new contract management framework by 31 March 2024. 3. Improve governance on the existing system of decentralised contract management as part of corporate improvement plan. 4. Recruit 2 posts to procurement team with interim secondment to one post in the meantime.	**4** (green)	Andrew Vallance	24/10/23
POLPER021	New legislation not responded to in a timely manner, breach of statute e.g. equality compliance, DDA. Inadequate response to new legislation, intervention by regulatory bodies and inspectorates, Judicial Reviews, HRA, DDA, GDPR, HASAWA etc. breaches Leads to intervention by regulatory bodies and inspectorates, Judicial Reviews, HRA, DDA, GDPR, HASAWA etc. Reputation damage and loss of confidence by residents, partners. The council cannot make satisfactory public report by way of AGS on the extent to which it complies with its own local code of governance. Confidence level: strong degree of confidence that the assessments accurately capture the current position in risk terms.	Major	Moderate	Moderate	Extreme	Very Unlikely	**4** (green)	low	1. AD's and managers keep up to date with developments in their service areas. 2. Officers must take legal advice on decisions as part of standard practice on reports. 3. In house legal team lawyers keep abreast of legislative changes and cascade as necessary.		**4** (green)	Elaine Browne	24/10/23
SDCHIL026	Impact of winter flu and possible future pathogen variants. There is nothing to suggest that future pathogen variants will be any less problematic than Covid-19. The current scientific advice is that a pandemic outbreak is highly likely to occur in the next 5-10 years. Confidence in this projection is informed by improved analysis of greater accuracy around mining animal health data where these infections begin. Leads to: - Significant ongoing pressure on local national health services. - Winter flu might be more damaging to certain parts of our local community. - Loss of key staff and reduced service resilience to the impacts of absence. Much of the control is outside the ability of the council but this shouldn't mean that the exposure to the risk isn't significant. The current metrics will vary depending on the area of impact. Thus these values should be read with that in mind.	Extreme	Moderate	Moderate	Extreme	Likely	**12** (red)	medium	1. RBWM Outbreak Control Plan. 2. There was an extensive COVID risk register in support of the controls and detailed threats (contents a Part 2 matter). 3. Critical incident plans: postpone some non-urgent operations. Priority is that beds are available for seriously ill patients.		**8** (yellow)	Kevin McDaniel	21/09/23

ID	Risk Description					Likelihood	Score	RAG	Controls	Further Actions	Score	RAG	Owner	Date
SDCHIL0025	Major safeguarding issue has the potential to arise from a number of areas including: - Pressure in the health system is passed onto the care system. - Financial pressures increase the complexity for some residents and families. - Exploitation of vulnerable people and children. This is extended by a potential lack of intelligence around emerging risk areas. Leads to: - Significant and preventable harm/death to vulnerable people. - Reputation damage to the council. - Local partners lose confidence - Ofsted / CQC rating drops impacting workforce and the expense of reinstating confidence is very costly. Implemented controls are all monitored via quarterly commissioning reviews with Optalis and AfC, and via safeguarding partnership shared with TVP and ICB.	Major	Major	Major	Major	Unlikely	6	low/medium	1. Adult safeguarding core groups meet weekly/fortnightly to assess risk. 2. Training and supervision of internal social care staff in adult safeguarding. 3. Adults implementing quality assurance process to prepare for CQC inspection. 4. In the event of a significant incident a safeguarding case review will investigate. 5. Business plan stipulating the activity of the service to specifically mitigate safeguarding risk. 6. Revised adult and childrens safeguarding partnership arrangements implemented with external scrutineers engaged throughout. 7. Performance management of adult safeguarding referrals & investigations. If needed, can lead to change of provider/practice. 8. Known risk areas strategies incl. CSE. Community Safety Partnership leadership of County Lines agenda. Includes info sharing. 9. Multi-agency safeguarding hub (MASH) strengthens response to children and young people	1. Preparation for CQC inspection of adult services underway, will be informed by DoHSC national framework (currently draft stage).	6		Kevin McDaniel and Lin Ferguson	29/03/23
SDCHIL0026	The cost of living crisis results in increased levels of debt, community tension, and anti-social behaviour while there is reduced voluntary support and restricted preventative and early intervention from services. This could lead to significant spikes in demand for support services and reactive services across the public sector. For the council, attempts to manage demand may be a struggle with increased financial pressures. Provides are increasing their charges and more self funders are creating demand. Confidence level: low degree of confidence that the assessments accurately capture the current position in risk terms.	Moderate	Moderate	Moderate	Moderate	Likely	6	low/medium	1. HSF pilot well established. 2. Active communication about ways of getting support (Here to Help). 3. Engagement with voluntary sector to support with pilot Household Support scheme in Q4 of 22/23 ahead of whole year approach		6		Kevin McDaniel	03/07/23
SDCHIL0027	Mental Health crisis accelerates with impact on RBWM to support consequences e.g. demand pressures on scare resources. To some degree brought about by gradual but significant changes in societal arrangements i.e. a greater number of residents living alone. We have recently seen significant costs increase driven by inflation and the complexity of the issues being presented. Confidence level: strong degree of confidence that the assessments accurately capture the current position in risk terms	Major	Moderate	Moderate	Major	Likely	9	low	1. Develop "Mental Health in School" teams across the borough 2. Promote wellbeing and self-care options through public health and comms channels. 3. Engage with ICB and ICP to ensure that health services prioritise mental health services.	1. Public health strategy alignment. Progress in Frimley ICB. 2. One MHST team in Windsor cluster, ICB and NHSE plan to deliver all teams by 2025.	3		Kevin McDaniel	03/07/23

Ref	Risk Description					Current Risk Score		Controls / Mitigations	Further Actions	Target Score	Owner	Date
ELEC02	Failures in the running of an election leads to negative publicity, lasting reputation damage, legal challenge by way of election petition, increased costs, loss of confidence by electorate in RBWM. The most pressing concern about the most recent local elections was the ability to recruit enough staff. The Elections Act has created impactful changes to registration which we will need to address.	Moderate	Major	Major	Moderate	Very unlikely	4 (green)	low	1. Mandatory training for presiding officers, poll clerks and polling station inspectors. 2. Ensure sufficient no. of RBWM, Optalis, AfC staff available to fill election appointments (polling station staff, count staff). 3. Election project group chaired by the RO, comprising senior officers. Group maintains an Elections project risk register. 4. Guidance on running provided by the Electoral Commission incl. polling station, verification and count centre risks. 5. Ensure sufficient senior capacity during the run up and on the day incl. coordinating with other Berks LA's. 6. Accidental contravention of Representation of the People Act or any electoral legislation covered by insurance. 7. Debrief post election with project board involving a proper written analysis and review of all stages. 8. Performance standards for the RO are set by Electoral Commission, judged as met/not met/exceeded.		4 (green)	Elaine Browne	24/10/23
HOUS03	There is a risk that increasing in migration and movement of people placed in local hotels could result in an increased demand on RBWM's critical front-line services i.e. education, housing, social care and health. This could lead to financial pressures on those services. - Children may not be able to attend a local school if there are insufficient places. - Additional pressure on health services and social housing. Possible local resentment from perception of preferential treatment. Placing TA out of borough leads to increased costs along with impacts on family/community support and schooling/employment. The most substantial area of support oten arises when asylum seekers move on from Home Office provided accommodation in hotels. They usually lack a deposit to gain a tenancy in the private rented sector. We have also seen in 2023 an increase in the risk of rough sleeping e.g. tents outside the Town Hall. Confidence level in risk assessment metrics - medium. This is something that is almost certainly going to happen but the level of impact is spread across a range of possible outcomes.	Major	Moderate	Minor	Major	Likely	9 (orange)	low	1. Work with the Home Office, Clearsprings etc to try and find a solution to growing numbers of asylum seekers in hotels. 2. Early intervention using Clearsprings portal (shows families with positive applications and when notices to vacate expire). 3. Local Berkshire and national meetings are vital to ensure RBWM is notified of when asylum seekers are arising. 4. Work with frontline services to ensure homeless applications are triggered asap so we can respond promptly. 5. Safeguarding matters are raised and dealt with urgently by close working relationships with Optalis and AfC.	1. Place based approach for prevention and early intervention from regular meetings with Clearsprings and wider partner agencies. 2. Recognised budget pressures and reflect in MTFP. Pressure smaller in the event successful asylum seekers are not made homeless. 3. Improve early notification process by having access to the asylum placement information portal. 4. Actively source properties to avoid issues in the event people are passed to us without any practical notification.	3 (green)	Lin Ferguson	31/10/23