

TO: GOVERNANCE AND AUDIT COMMITTEE  
28<sup>TH</sup> JUNE 2017

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## STRATEGIC RISK REGISTER (Head of Audit and Risk Management)

### 1 INTRODUCTION

- 1.1 This report covers the update of the Strategic Risk Register, in the proposed new format which is still at an embryonic stage and includes additional information on unmitigated risk and risk appetite scores that now need to be agreed.

### 2 RECOMMENDATION

- 2.1 To provide feedback on the new format and completeness of risks and scores in the re-formatted Strategic Risk Register attached at Appendices1 including risk appetite.
- 2.2 To provide feedback on the proposal to remove risks that have been mitigated down to the risk appetite level for two or more consecutive months.

### 3 REASONS FOR RECOMMENDATION

- 3.1 To ensure that the Strategic Risk register reflects the current position and meets best practice for effective risk management as set out by the Institute of Risk Management.

### 4 ALTERNATIVE OPTIONS CONSIDERED

- 4.1 The decision could be taken to not update the Register to add risk appetite scores but this would not meet best practice and would limit the Register as a management tool.

### 5 SUPPORTING INFORMATION

- 5.1 The format of the Risk Register had not been updated for some time. Advice from an external risk management consultant concluded that our arrangements were fit for purpose but could be improved by identifying risk appetite. This is consistent with the Institute of Risk Management which advises that risk appetite should be identified for each risk. ***Risk appetite is the amount of risk that an organisation is willing to seek or accepts in order to meet its long term objectives.***
- 5.2 Whilst mindful of the need to ensure risk management arrangements are proportionate, it is now appropriate to enhance the Register to better inform those responsible for managing the risks. The environment in which the Council operates has changed considerably in recent times and the organisation now faces significant financial pressures. The Council's transformation programme encompasses the response to risk moving forward. Risk mitigation will be limited by how much we have to spend. Members' and officers' appetite for the level of risk the Council is prepared to accept will by necessity have to increase accordingly. Under this new approach it is important that we determine risk appetite. Furthermore, Members on the Governance and Audit Committee also concluded that risk management could be improved by adding further information to the Register.

- 5.3 In response to this the Register has been re-formatted to include unmitigated and risk appetite scores and track scoring over time. The revised format was reviewed and approved by the Strategic Risk Management (SRMG) in March and subsequently by the Corporate Management Team
- 5.4 Given the revised format identifies risk appetite for each individual risk, the previous colour coding of red, amber and green based on a single assessment of risk tolerance would be confusing and hence the analysis of red, amber and green will now be based on the extent of the gap between the current residual risk and the risk appetite. Risk are noted as green where current residual score is in line or below the risk appetite and red if there is a differential of 2 or more grid points as per the risk matrix grid at Appendix 2.
- 5.5 In order to focus senior management and Member attention on areas of greatest risk, the Register should include only the key current risks that have not been mitigated down to the risk appetite level. Hence it is proposed that where risks have been rated as green for 2 or more consecutive quarters they should be removed from the Register. These can be re-instated should the risk rise again.
- 5.6 Risks have been slotted into the template. Feedback on risk appetite has been received from risk owners and/or their DMTS
- 5.7 The following further changes were proposed to and agreed with SRMG and the Corporate Management team members:
- To increase transformation risk to take into account linkages between projects;
  - To increase the Coral Reef risk due to potential for an overspend;
  - To reduce the risk score for the IT infrastructure risk as this was felt to be over-scored;
  - To increase the risk for demands for services due to rising demand in children's social care
  - To reduce the risk score for the cyber risk as recent global events indicated the Council was better prepared than the previous score suggested;
  - To reduce the risk score for the Binfield Learning Village given this is on track and audit review indicates this is well controlled; and
  - To reduce the risk for school backlog maintenance.as the Council is delivering against its responsibilities.
- 5.8 Should their risk rating remain green in quarter two, it is proposed that the following risks be removed:
- Town Centre;
  - Binfield Learning Village;
  - School Backlog maintenance;
  - Highways and buildings.
  - Working with partners
  - Loss of key staff
  - IT infrastructure

- Business Continuity
- Legislative changes
- Cyber risks.

## **ADVICE RECEIVED FROM STATUTORY AND OTHER OFFICERS**

### Borough Solicitor

- 6.1 There are no specific legal implications arising from the recommendations in this report"

### Borough Treasurer

- 6.2 No direct financial implications.

### Equalities Impact Assessment

- 6.3 Not applicable.

### Strategic Risk Management Issues

- 6.4 Regular review of the Strategic Risk Register is an integral part of effective risk management arrangements. Identifying risk appetite enables the Council to clarify the extent of risk mitigation required.

## **7 CONSULTATION**

### Principal Groups Consulted

- 7.1 The principal groups consulted were CMT and SRMG.

### Method of Consultation

- 7.2 The updated Register was reviewed by SRMG and CMT on 1<sup>st</sup> and 7<sup>th</sup> June 2017 respectively. All amendments suggested have been included in the Strategy attached at Appendix 1.

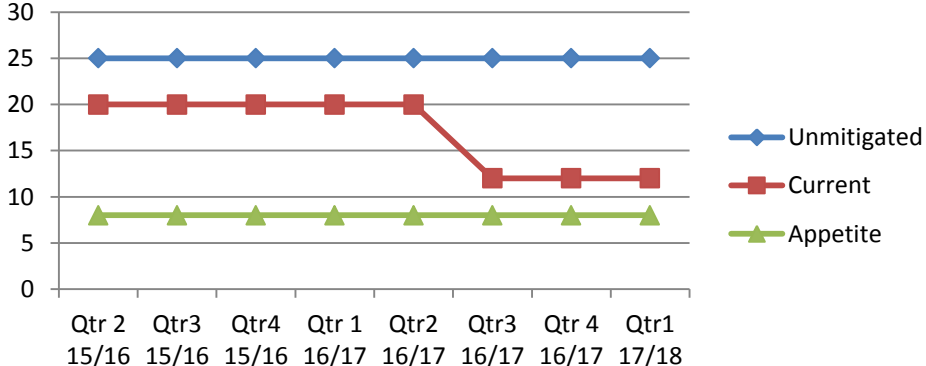
### Contact for further information

Sally Hendrick – 01344 352092

[Sally.hendrick@bracknell-forest.gov.uk](mailto:Sally.hendrick@bracknell-forest.gov.uk)

## APPENDIX 1

### STRATEGIC RISK REGISTER MARCH 2017

Strategic Theme 1:Value for money: Performance Measures : Spending is within budget																																								
Risk 1: Significant pressures on the Council’s ability to balance its finances whilst maintaining satisfactory service standards			Risk Owner: Borough Treasurer																																					
<p><b>Risk Rating (Likelihood x Impact)</b></p> <p>Unmitigated 5 x 5</p> <p>Current Residual 3 x 4</p> <p>Appetite 2 x 4</p> <p><b>Potential Impact</b></p> <p>Strategic objectives and statutory duties not met</p> <p>Increased insurance claims/ legal costs/penalties.</p>	 <table><caption>Risk Rating Data</caption><thead><tr><th>Quarter</th><th>Unmitigated</th><th>Current</th><th>Appetite</th></tr></thead><tbody><tr><td>Qtr 2 15/16</td><td>25</td><td>20</td><td>8</td></tr><tr><td>Qtr 3 15/16</td><td>25</td><td>20</td><td>8</td></tr><tr><td>Qtr 4 15/16</td><td>25</td><td>20</td><td>8</td></tr><tr><td>Qtr 1 16/17</td><td>25</td><td>20</td><td>8</td></tr><tr><td>Qtr 2 16/17</td><td>25</td><td>20</td><td>8</td></tr><tr><td>Qtr 3 16/17</td><td>25</td><td>12</td><td>8</td></tr><tr><td>Qtr 4 16/17</td><td>25</td><td>12</td><td>8</td></tr><tr><td>Qtr 1 17/18</td><td>25</td><td>12</td><td>8</td></tr></tbody></table>	Quarter	Unmitigated	Current	Appetite	Qtr 2 15/16	25	20	8	Qtr 3 15/16	25	20	8	Qtr 4 15/16	25	20	8	Qtr 1 16/17	25	20	8	Qtr 2 16/17	25	20	8	Qtr 3 16/17	25	12	8	Qtr 4 16/17	25	12	8	Qtr 1 17/18	25	12	8	<p><b>Rationale for current score:</b></p> <p>Efficiency Plan has brought down the risk and 2016/17 budget was kept on track to deliver this.</p> <p><b>Rationale for risk appetite</b></p> <p>Achieving a sustainable financial position is a core responsibility.</p> <table><tr><td><b>Current RAG rating</b></td><td><b>Amber</b></td></tr></table>	<b>Current RAG rating</b>	<b>Amber</b>
Quarter	Unmitigated	Current	Appetite																																					
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<b>Current RAG rating</b>	<b>Amber</b>																																							
<p><b>Current Actions</b> <i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"><li>• 4 year financial settlement in place</li><li>• Efficiency plan in place signed off by full Council.</li><li>• Establishment of a Transformation Board to deliver significant savings over the medium term.</li><li>• Continuous engagement with Members regarding priorities</li><li>• Medium term financial strategy will need to be continually monitored and reviewed</li><li>• CIL governance processes and procedures established and prioritising spend in accordance with BFC Regulation 123 infrastructure list. Report taken to CMT on 14 September on the various financial options for the allocation of CIL receipts. Regular dialogue with Town and Parish Councils to come to an agreed accord on spending of CIL monies.</li><li>• Approved capital spending plans are in place for Binfield Learning Village at Blue Mountain, the Schools Places programme, Coral Reef and the town centre. These are built in to the Council's capital programme and are monitored. Regular updates going to CMT.</li></ul>		<p><b>Further Mitigation</b> <i>(what more should we do to reduce risk to our risk appetite level) and opportunities</i></p> <table><tr><td></td><td><b>Officer responsible</b></td><td><b>Target date</b></td></tr><tr><td>Balanced Medium Term Plan to be agreed in 2107/18</td><td>Borough Treasurer</td><td>Qtr2</td></tr></table>			<b>Officer responsible</b>	<b>Target date</b>	Balanced Medium Term Plan to be agreed in 2107/18	Borough Treasurer	Qtr2																															
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Balanced Medium Term Plan to be agreed in 2107/18	Borough Treasurer	Qtr2																																						

**Strategic Theme 1: Value for money:** Performance Measures :The cost, quality and delivery mechanism of all services will be reviewed by 2019

**Risk 2: Council unable to deliver the transformation programme. Linkages between individual transformation projects and knock on effects across transformation projects not adequately identified and taken into consideration.**

**Risk Owner:** Chief Executive

**Risk Rating (Likelihood x Impact)**

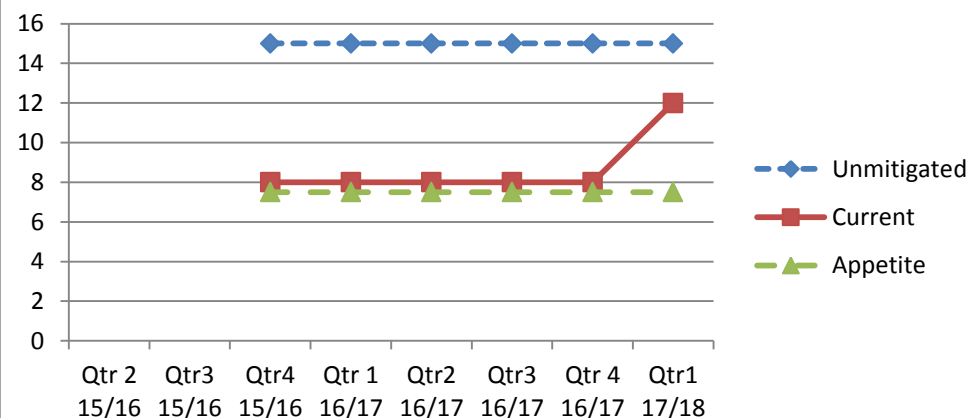
Unmitigated 3 x 5

Current Residual 2 x 4

Appetite 2 x 4

**Potential Impact**

Conflicting pressures between elements of the programme Core objectives/benefits not achieved. Statutory responsibilities not met



**Rationale for current score:**

Governance arrangements around the projects are robust and projects are generally on track but the consequences of failing to achieve the anticipated benefits would be critical e.g. for achieving necessary savings targets.. Potential that linkages between projects are not addressed.

**Rationale for risk appetite**

Transformation process is in response to the need to make radical changes to service delivery to be sustainable moving forward and hence a high level impact is accepted but mitigated by a low tolerance for likelihood.

**Current RAG rating**

**Amber**

**Current Actions**(What we are currently doing about the risk)

- Transformation Board
- Programme Manager
- Transformation Risk Register in place
- Separate risk registers set up for the significant transformation projects
- Legal advice and support
- Workforce development for organizational changes
- Clear communication

**Further Mitigation** (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
Clear map of programme of benefits of adults and children achieving targets	Directors of ASCHH/CYPL	Qtr 2 17/18
Identify linkages between projects	CMT	Qtr 1 2017/18

**Strategic Theme 1: Value for money:** Performance Measure; Spending is within budget

**Strategic Theme 6: Strong, safe, supportive and self reliant communities :** Performance Measure: Safeguarding structures to safeguard children and vulnerable adults are well established.

**Risk 3: Additional employment opportunities in new town centre affects the ability of the Council and its outsourced providers to attract and retain staff to deliver services**

**Risk Owner:** CMT

**Risk Rating (Likelihood x Impact)**

Unmitigated 4 x 4

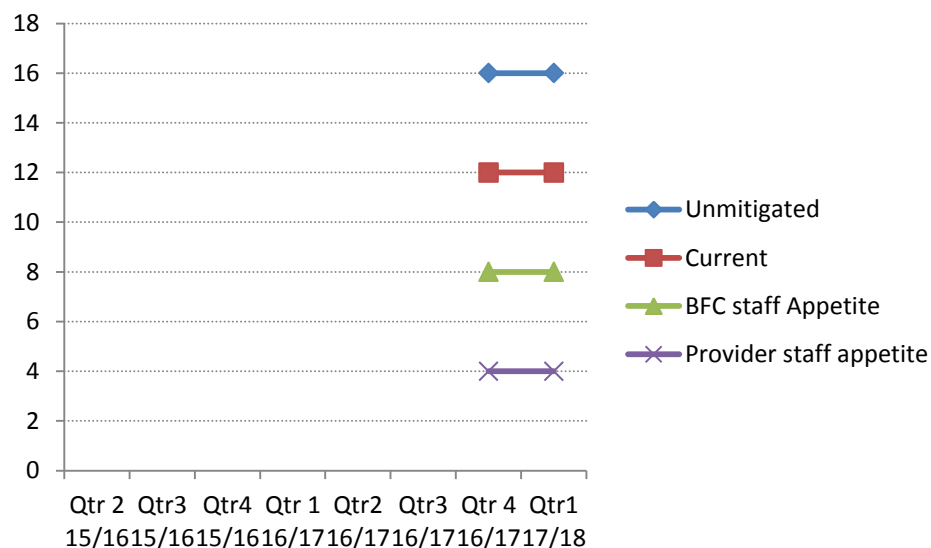
Current Residual 3 x 4

BFC staff Appetite 2 x 4

Providers staff Appetite 2 x 4

**Potential Impact**

Disruption to services. Failure to meet statutory duties



**Rationale for current score:**

New employment opportunities in the new centre may be particularly attractive to those on lower incomes such as in the care sector. This could have a major effect on providers' ability to service contracts for critical services.

**Rationale for risk appetite**

Appetite relatively low as the Council has to ensure it meets its safeguarding responsibilities and ensures leisure sites can operate at full capacity to generate budgeted income.

**Current RAG rating**

**Amber**

**Current Actions(What we are currently doing about the risk)**

- For BFC staff monitor the impact and review our reward and recognition approach as necessary to ensure that BFC remains seen as an attractive employer

**Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities**

	Officer responsible	Target date
Highlight risks for each directorate sites	CMT	Qtr 2
Monitor recruitment for Coral Reef and other leisure sites	Director ECC	Qtr 2
Monitor service delivery through providers of domiciliary care as town centre opens	Director of ASCHH	Qtr3
Monitor financial impact	Borough Treasurer	Ongoing
Mitigation required re apprenticeship levy requirements	CMT	Ongoing
Sub-group of Transformation working group of workforce focusing on care in the community	Sub-group	Ongoing

## Strategic Theme 2: A Strong and Resilient Economy

Performance Measures : The new town centre opens in 2017

**Risk 4: Delays in the Town Centre Regeneration project led by Bracknell Regeneration Partnership (BRP) working in partnership with Bracknell Forest Council. Failure of the Council to monitor and control their respective elements of the project.**

**Risk Owner:** Assistant Chief Executive

### Risk Rating (Likelihood x Impact)

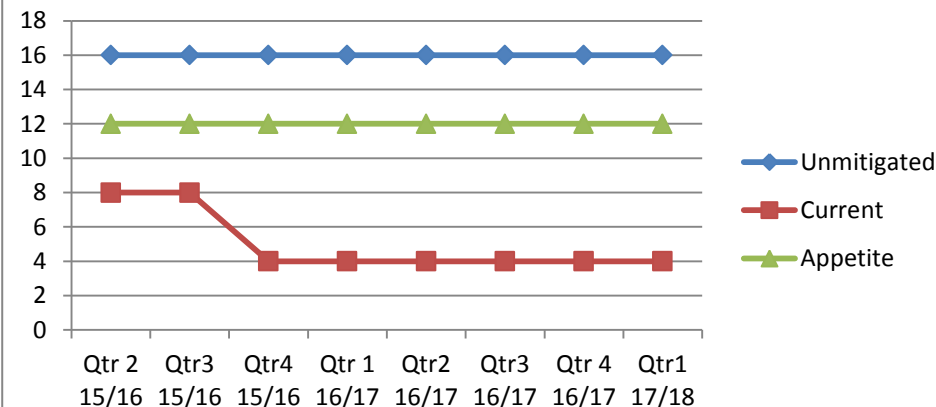
Unmitigated 4 x 4

Current Residual 1 x 4

Appetite 4 x 3

### Potential Impact

Increased costs for the Council.  
Delays to regeneration of the town centre  
Loss or reputation.  
Core benefit of the regeneration not realised.



### Rationale for current score:

The project is on track and is now in its latter stages but the impact were this not to be achieved would be critical e.g. for income generation, Council reputation.

### Rationale for risk appetite

The level of risk that needed to be accepted to develop the opportunity of a new town centre in partnership with commercial developers and benefit from significant future rewards available. Without accepting this level of risk the project would not have been able to proceed.

Current RAG rating

Green

### Current Actions (What we are currently doing about the risk)

- Regular meetings with construction company, Mace
- Regular meetings between officers and with members to ensure issues are identified and resolved promptly.
- Series of meetings at different levels with BRP and other land owners

### Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
N/A		

## Strategic Theme 2: A Strong and Resilient Economy

Performance Measures : The borough is regarded as an excellent business location

### Risk 5 Impact of the national and global economy on economic activity in the Borough including potential for businesses to relocate following Brexit and other international business decisions.

**Risk Owner:**  
Assistant Chief  
Executive

#### Risk Rating (Likelihood x Impact)

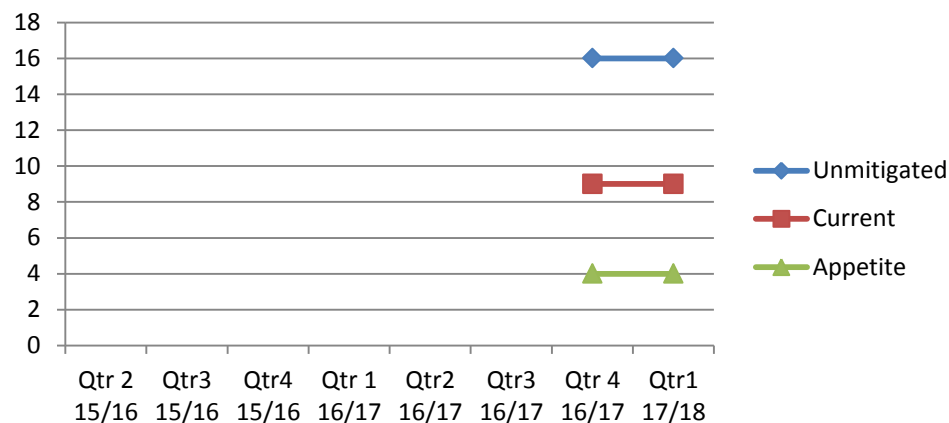
Unmitigated 4 x 4

Current Residual 3 x 3

Appetite 2 x 2

#### Potential Impact

Economic prosperity not sustained



#### Rationale for current score:

Current uncertainty means that the risk is relatively high.

#### Rationale for risk appetite

Given potential financial consequences risk appetite is low.

Current RAG rating

Amber

#### Current Actions(What we are currently doing about the risk)

- Implement inward investment strategy and exploit trade links outside the UK with emerging economies
- Continue with business liaison programme

#### Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
Promote investment opportunities from London and international organizations including those from growth economies	Chief Executive	



Strategic Theme 3: People have the life skills and education opportunities they need to thrive																																						
Performance Measures : School places are available in all localities																																						
Risk 6: Council unable to monitor and control implementation of the Binfield Learning Village project to ensure delivered on time and within budget.		Risk Owners: Director of CYPL																																				
<p><b>Risk Rating (Likelihood x Impact)</b></p> <p>Unmitigated 4 x 4</p> <p>Current Residual 2x 3</p> <p>Appetite 2 x 3</p> <p><b>Potential Impact</b></p> <p>Cost overruns/ pressure on the capital budget</p> <p>Late delivery . Core objective to deliver required additional school places not delivered</p>	<table><caption>Risk Rating Data</caption><thead><tr><th>Quarter</th><th>Unmitigated</th><th>Current</th><th>Appetite</th></tr></thead><tbody><tr><td>Qtr 2 15/16</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr3 15/16</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr4 15/16</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr 1 16/17</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr2 16/17</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr3 16/17</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr 4 16/17</td><td>16</td><td>12</td><td>6</td></tr><tr><td>Qtr 1 17/18</td><td>16</td><td>6</td><td>6</td></tr></tbody></table>	Quarter	Unmitigated	Current	Appetite	Qtr 2 15/16	16	12	6	Qtr3 15/16	16	12	6	Qtr4 15/16	16	12	6	Qtr 1 16/17	16	12	6	Qtr2 16/17	16	12	6	Qtr3 16/17	16	12	6	Qtr 4 16/17	16	12	6	Qtr 1 17/18	16	6	6	<p><b>Rationale for current score:</b></p> <p>Latest Project Management report to CMT indicates project is on track and internal audit report concluded the project was well managed and raised no recommendations.</p> <p><b>Rationale for risk appetite</b></p> <p>Major project for delivering community needs</p> <div><div>Current RAG rating</div><div>Green</div></div>
Quarter	Unmitigated	Current	Appetite																																			
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<p><b>Current Actions</b> <i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"><li>• CMT acting as strategic project board for Binfield Learning Village</li><li>• PID in place for Binfield Learning Village</li><li>• Programme manager appointed for Binfield Learning Village</li><li>• Task specific sub-groups established for Binfield Learning Village</li><li>• Negotiations with Blue Mountain land owner on-going</li><li>• Risks identified in highlight report and business case</li></ul>		<p><b>Further Mitigation</b> <i>(what more should we do to reduce risk to our risk appetite level) and opportunities</i></p> <table><thead><tr><th></th><th>Officer responsible</th><th>Target date</th></tr></thead><tbody><tr><td>N/A</td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></tbody></table>		Officer responsible	Target date	N/A																																
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**Strategic Theme 3: People have the life skills and education opportunities they need to thrive**

Performance Measures : School places are available in all localities

**Risk 7: Council unable to accurately forecast school places numbers for future planning.**

**Risk Owners:** Director of CYPL

**Risk Rating (Likelihood x Impact)**

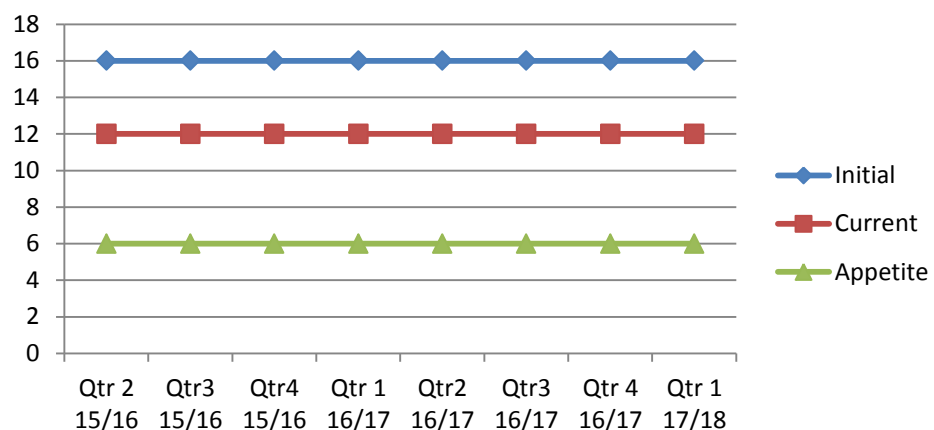
Initial underlying 4 x 4

Current Residual 4 x 3

Appetite 2 x 3

**Potential Impact**

Cost overruns/ pressure on the capital budget  
Late delivery . Core objective to deliver required additional school places not delivered



**Rationale for current score:**

Risk is currently significant given current surplus of places and difficulties in attracting pupils to certain schools.

**Rationale for risk appetite**

Risk appetite is fairly low given the Council's statutory responsibilities to educate

**Current RAG rating** Red

**Current Actions (What we are currently doing about the risk)**

- Risk register in place and reviewed at each Education Capital Programme Board (ECPB) meeting
- Secured central government funding of £1.5m for 2 schools under the Priority Schools Building Programme

**Further Mitigation (what more should we do to reduce risk to our risk appetite level)**

	Officer responsible	Target date
Review of arrangements for pupil places forecasting	Director of CYPL	Qtr 2

**Strategic Theme 3: People have the life skills and education opportunities they need to thrive**

Performance Measures : School places are available in all localities

**Risk 8: Council unable to monitor and control implementation of School's backlog maintenance programme to time and cost budget. This could lead to cost overruns/ pressure on the capital budget, late delivery and result in core objectives of projects not being achieved.**

**Risk Owners:** Director of CYPL

**Risk Rating (Likelihood x Impact)**

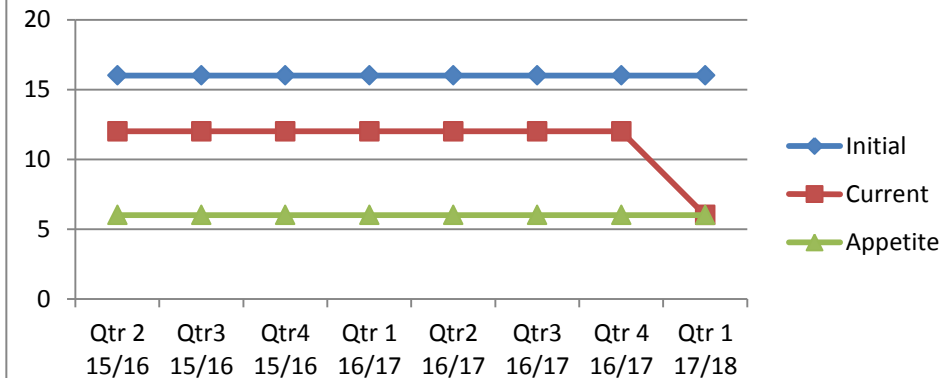
Initial underlying 4 x 4

Current Residual 2 x 3

Appetite 2 x 3

**Potential Impact**

Cost overruns/ pressure on the capital budget  
Late delivery . Core objective to deliver required additional school places not delivered



**Rationale for current score:**

Council is delivering on key major maintenance. Responsibility for minor works rests with the governing body.

**Rationale for risk appetite**

Risk appetite is fairly low given the Council's statutory responsibilities to educate and to do so within an environment which meets health and safety requirements.

**Current RAG rating** Green

**Current Actions (What we are currently doing about the risk)**

- Risk register in place and reviewed at each Education Capital Programme Board (ECPB) meeting

**Further Mitigation** (what more should we do to reduce risk to our risk appetite level)

	Officer responsible	Target date
N/A		

**Strategic Theme 3: People have the life skills and education opportunities they need to thrive**

Performance Measures :Children have access to high quality early years provision /School places are available in all localities /All young people who have left school go on to further education, find employment or undertake some form of training

**Strategic Theme 4: People live active and healthy lifestyles**

Performance Measures:Comprehensive public health programmes aimed at adults and young people/Personal choices available to allow people to live at home are increased///Integration of council and health services care pathways for long term conditions is increased /Accessibility and availability of mental health services for young people and adults is improved

**Risk 9: Council unable to predict and plan for future changes in demands for services arising from demographic changes and national policy initiatives.**

**Risk Owners:** Directors of CYPL and ASCHH

**Risk Rating (Likelihood x Impact)**

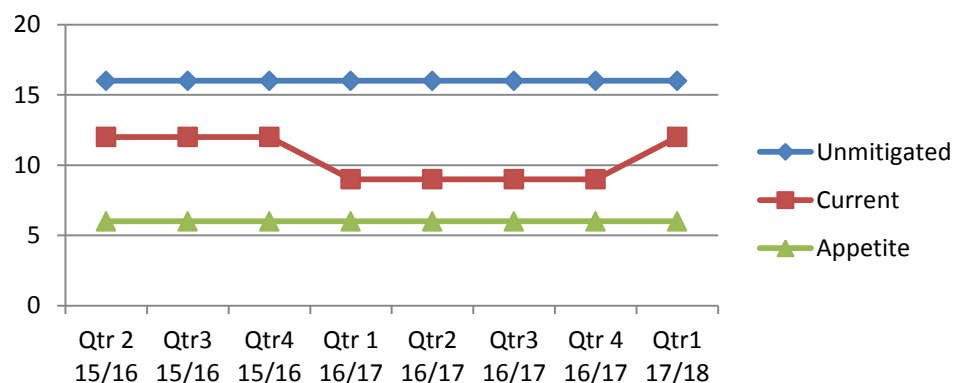
Unmitigated 4 x 4

Current Residual 4 x 3

Appetite 2 x 3

**Potential Impact**

Failure to meet demand.  
Statutory duties not met


**Rationale for current score:**

Increasing pressure on children's social care due to changing demographics.

**Rationale for risk appetite**

Tolerance in forecasting relatively low due to knock on effect on financial planning

**Current RAG rating**

**Red**

**Current Actions (What we are currently doing about the risk)**
CYPL

- Continuous monitoring of demand levels for children's social care
- Monitoring impact of SEND reform and implementation of Education, Health and Care Plans.
- Block contracts for high cost placements e.g. contract let for independent fostering agencies

ASCHH

- Domiciliary care – to move away from spot purchasing from a high number of providers by establishing a framework agreement of just 6-8 providers which will reduce pressure of a high number of providers competing for limited staffing resources in the local area. .
- New RAS system to be introduced which will generate more robust budgets. To be introduced in October for new cases initially
- Early intervention and small budget available per team to use in preventative ways

**Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities**

	Officer responsible	Target date
Monitoring rise in demand in children's social care to assess if this temporary or permanent	Director of CYPL	Qtr 3

<ul style="list-style-type: none"><li>• An asset based approach to assessment by social care staff</li><li>• Development of digital platform to support customers to use their direct payments creatively and greater use of community resources and technology in support packages</li><li>• A community model of intermediate care and reablement</li><li>• Plans to develop up step up and step down beds in partnership with the Frimley Acute Trust</li></ul>	
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#### Strategic Theme 4: People live active and healthy lifestyles

Performance Measure :Coral Reef is redeveloped

#### Risk 10: Council unable to monitor and control implementation of the Coral Reef roof replacement and enhancements to time and cost budget.

**Risk Owner:** Director of ECC

##### Risk Rating (Likelihood x Impact)

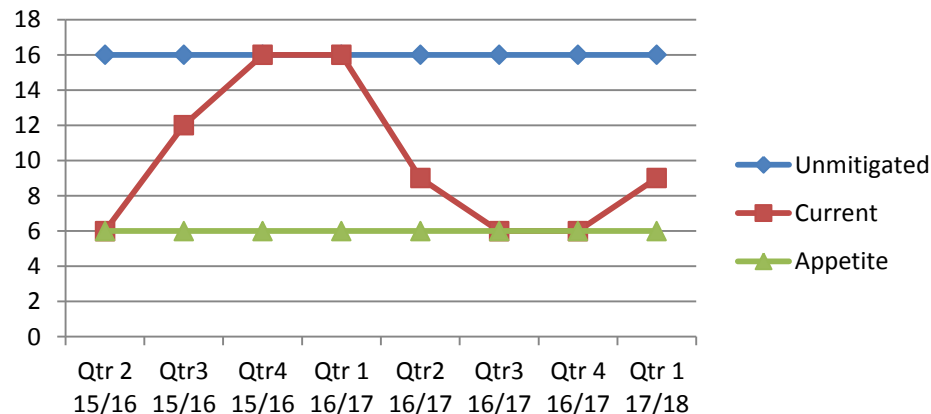
Unmitigated 4 x 4

Current Residual 3 x 3

Appetite 2 x 3

##### Potential Impact

Cost overruns/ pressure on the capital budget. Late delivery. Core objective to deliver a facility that generates the required return on the investment and generate additional income.



##### Rationale for current score:

Project is on target for re-opening. but now expected to overspend.

##### Rationale for risk appetite

Risk appetite fairly low given the facility is a major income generator

**Current RAG rating** **Amber**

##### Current Actions (What we are currently doing about the risk)

- Contract awarded and works in progress
- Project managed by Atkins
- Coral Reef project board operational and managing the project
- Coral Reef Member Advisory Steering Group
- Project risk register in place and regularly reviewed
- Coral Reef Opening HR Strategy being developed
- Regular updates provided to CMT

##### Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
Monitoring budget position	CMT	Qtr 2

### Strategic Theme 5: A clean, green growing and sustainable place

Performance Measure: Appropriate infrastructure development is completed to support housing growth including ; Warfield Link road, Coral Reef Junction, Jennet's Park, town centre

### Risk 11: Council unable to maintain buildings in accordance with health and safety and other legislative standards or to maintain highways to satisfaction of road users.

**Risk Owner:** Director of ECC/Director of Corporate Services

#### Risk Rating (Likelihood x Impact)

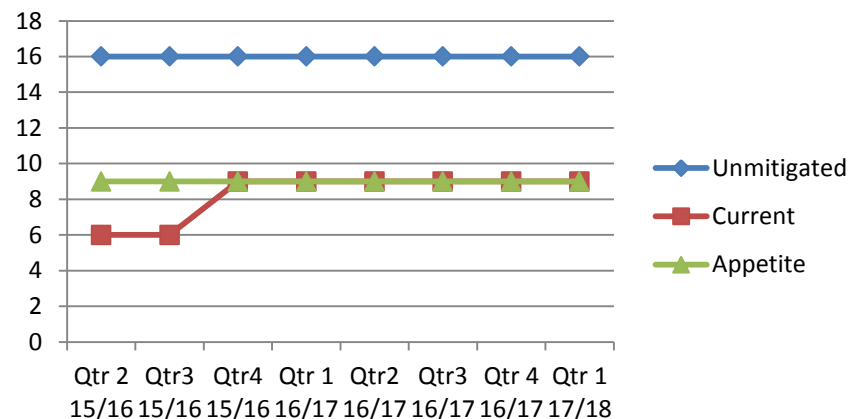
Unmitigated risk 4 x 4

Current Residual 3 x 3

Appetite 3 x 3

#### Potential Impact

Injury, loss or damage.  
Increased liability claims.  
Potential non-delivery of housing. Negative impact on service



#### Rationale for current score:

Roads are maintained to health and safety standards so risk in respect of highways is not meeting road users' expectations... Whilst not all significant backlog maintenance issues on Council buildings are being addressed, this is a conscious decision due to plans to streamline the estate.

#### Rationale for risk appetite

Health and safety requirements are met for highways, repudiation rate for highways insurance claims is high hence residual risk is not meeting road users expectations rather than failing to meet statutory requirements. Conscious decision that excluding significant health and safety matters, expenditure on Council buildings is focused on offices that are likely to be retained and the investment properties .and accept risk for other properties.

**Current RAG rating**

**Green**

#### Current Actions (What we are currently doing about the risk)

- Building condition surveys being carried out on a rolling programme over 5 years, 20% per annum
- Implementation of works identified by building condition survey and backlog maintenance in progress. Backlog is expected to rise again moving forward due to budget constraints
- Asset Management Plan in place
- Property review of key Council properties aiming to consolidate the number of building and reduce running and maintenance costs
- Health and Safety proactive and reactive site visits
- Secured central government funding of £1.5m for 2 schools under the Priority Schools Building Programme
- IDP being regularly reviewed to ensure complete infrastructure requirements for new communities is robust;
- Report taken to CMT on financial options for the allocation of CIL receipts on 14 September 2016.
- Identify infrastructure spending priorities through the Council's capital spending programme and develop an accord with Town and Parish Councils.
- Works focus on prevention of health and safety failure on highways. New Highways Management Plan to be developed following issue of the new Highways Code

#### Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
N/Aa		

- Early engagement with LEP

**Strategic Theme 6: Strong, safe, supportive and self reliant communities**

Performance Measure: Safeguarding structures to safeguard children and vulnerable adults are well established.

**Risk 12: Factors outside the control of the Council may result in the injury, death or sexual exploitation of a vulnerable child or adult in the community. Weaknesses in Council procedures may contribute to the failure to safeguard a vulnerable child or adult.**

**Risk Owners:** Directors of CYPL and ASCHH

**Risk Rating (Likelihood x Impact)**

Unmitigated 5 x 5

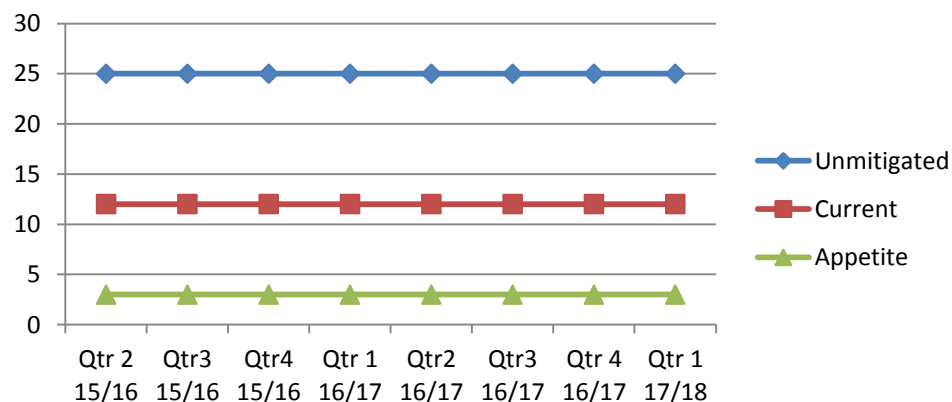
Current Residual 3 x 4

Appetite 1 x 3

**Potential Impact**

Loss or reputation.

Fines/penalties. Insurance claims



**Rationale for current score:**

Likelihood is significant as factors outside the control of the Council may result in the injury or death of a vulnerable child or adult in the community or sexual exploitation of a child. Failure to adhere to Council procedures may contribute to the failure to safeguard a vulnerable child or adult. The impact of failure would be critical.

**Rationale for risk appetite**

Given the risk relates to the safeguarding of vulnerable individuals the risk appetite will be low.

**Current RAG rating** Red

**Current Actions** (What we are currently doing about the risk)

CYPL

- Local Safeguarding Children's Board brings together senior and operational staff within local organisations to help co-ordinate services and make certain they work together to keep children safe from harm. The Board has a role in monitoring and overseeing the contribution partnership organisations make towards safeguarding children
- Ongoing social media campaign which focuses on the 'Nine Signs of CSE'. In the autumn a media operation was launched on safety on line to help engage parents on what their children may potentially be accessing on the internet.
- S11 Audits to be reviewed in the autumn
- Safeguarding Peer Diagnostic undertaken in mid January.
- OFSTED introducing 2 new inspection frameworks. The Joint Targeted Area Inspection framework (which will cover CSE) is due out in January and the SEND framework is due out in May.
- Proactive strategies for recruitment of social workers being implemented including the development of a social worker micro site to promote the

**Further Mitigation** (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
Action plans in response to external inspections and points of continual improvement	Director CYPL	Ongoing



<p>benefits of working in children's social services at Bracknell Forest Council.</p> <ul style="list-style-type: none"> <li>• Proactive parenting projects now in place e.g. family group conferencing, Symbol project supporting parents with learning disabilities</li> <li>• Multi Agency Safeguarding Hub to go live in May 2016.</li> <li>• Transformation project around early intervention and prevention.</li> <li>• Monitoring children vulnerable to CSE and going missing via the multi-agency CSE/Missing operational group.</li> </ul> <p><u>ASCHH</u></p> <ul style="list-style-type: none"> <li>• Adult Safeguarding Board in place with independent chair.</li> <li>• S11 audit completed. Action identified to log safeguarding training.</li> <li>• Changes to deprivation of liberty safeguards has resulted in increase in demand as expected hence dealing only with urgent cases which is the approach supported by DOH</li> <li>• Bridgewell CQC inspection assessed the centre as good across all areas.</li> </ul>	
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**Strategic Theme 6: Strong, safe, supportive and self reliant communities**

Performance Measure: Levels of community action and volunteering in the borough are increased

High levels of community cohesion are maintained

There are low levels of crime and anti-social behaviour in the borough

**Risk 13: Council unable to work effectively with key partners such as contractors, shared service providers, Health and Police or involve residents in the development of our services.**

Risk Owners: CMT

**Risk Rating (Likelihood x Impact)**

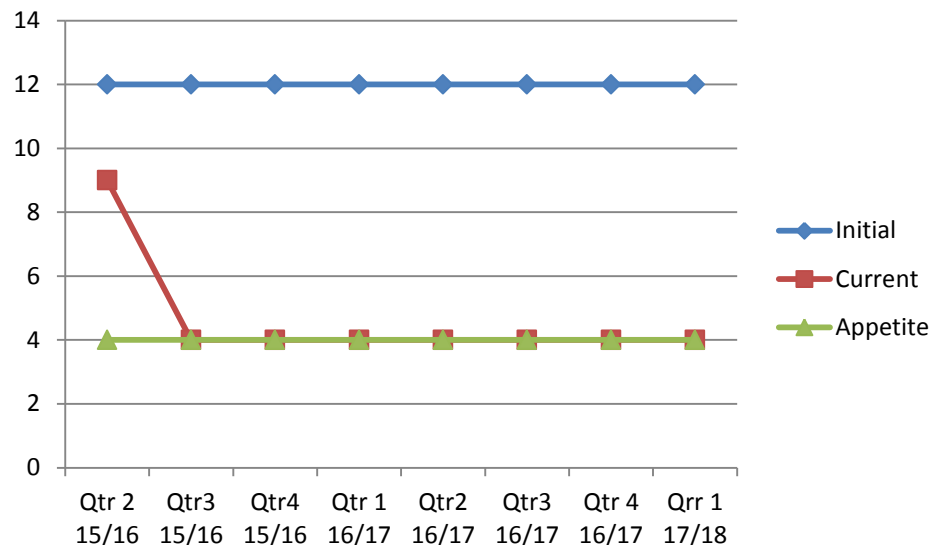
Initial underlying 3 x 4

Current Residual 2 x 2

Appetite 2 x 2

**Potential Impact**

Community needs not met  
Negative impact on community cohesion which could lead to extremism. Increased risk of failure of voluntary sector umbrella support

**Rationale for current score:**

Council is engaging effectively with key partners and residents on the development of our services.

**Rationale for risk appetite**

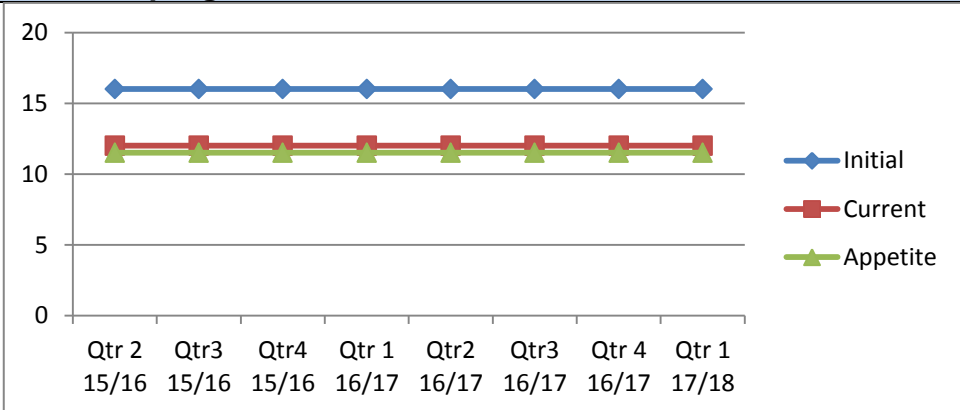
Appetite fairly low as the Council seeks to meet the needs of the community and maximise effectiveness and compliance with statutory requirements though working closely with key partners.

**Current RAG rating** Green**Current Actions** *(What we are currently doing about the risk)*

- Residents survey undertaken again in January.
- Bracknell Forest Partnership is now metamorphosing as a network group.
- Reviewing relationships with voluntary sector to provide a tighter relationship between the Council's new narrative and the level of services
- Voluntary sector "passport" approach supported by the Police will ensure volunteers only have to be trained once, get a DBS once, etc.
- Business liaison programme with key Bracknell Forest businesses
- MASH in place, CYPL and ASCHH working with Police and Health
- Further shared service arrangements are now in place e.g. public protection in ECC

**Further Mitigation** *(what more should we do to reduce risk to our risk appetite level) and opportunities*

	Officer responsible	Target date
N/A		

Strategic Theme 1: Value for money Strategic Theme 2: A Strong and Resilient Economy Strategic Theme 3: People have the life skills and education opportunities they need to thrive Strategic Theme 4: People live active and healthy lifestyles Strategic Theme 5: A clean, green growing and sustainable place Strategic Theme 6: Strong, safe , supportive and self reliant communities																																						
Risk 14 Loss of key/ senior staff. Managing services with reduced capacity and with staff resources re-allocated to the transformation programme		Risk Owners: CMT																																				
<p><b>Risk Rating (Likelihood x Impact)</b></p> <p>Initial underlying 4 x 4</p> <p>Current Residual 4 x 3</p> <p>Appetite 4 x 3</p> <p><b>Potential Impact</b></p> <p>Failure to meet demand .</p> <p>Statutory duties not met</p>	 <table><caption>Risk Rating Data</caption><thead><tr><th>Quarter</th><th>Initial</th><th>Current</th><th>Appetite</th></tr></thead><tbody><tr><td>Qtr 2 15/16</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 3 15/16</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 4 15/16</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 1 16/17</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 2 16/17</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 3 16/17</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 4 16/17</td><td>16</td><td>12</td><td>11.5</td></tr><tr><td>Qtr 1 17/18</td><td>16</td><td>12</td><td>11.5</td></tr></tbody></table>	Quarter	Initial	Current	Appetite	Qtr 2 15/16	16	12	11.5	Qtr 3 15/16	16	12	11.5	Qtr 4 15/16	16	12	11.5	Qtr 1 16/17	16	12	11.5	Qtr 2 16/17	16	12	11.5	Qtr 3 16/17	16	12	11.5	Qtr 4 16/17	16	12	11.5	Qtr 1 17/18	16	12	11.5	<p><b>Rationale for current score:</b></p> <p>Managing delivery of ongoing services during a period of significant change with reduced staffing resources due to redundancy, retirement, sickness, staff resources diverted to the transformation programme and difficulties in recruiting to certain specialist posts</p> <p><b>Rationale for risk appetite</b></p> <p>In order to implement the Transformation Programme it will be necessary to reduce staffing levels and is accepted that will put pressure on managing and delivering services hence appetite is high...</p> <p><b>Current RAG rating</b> <span>Green</span></p>
Quarter	Initial	Current	Appetite																																			
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<p><b>Current Actions</b> <i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"><li>• Communication around potential staffing changes following transformation reviews</li><li>• Redeployment and employment change programme</li><li>• Ensuring training regimes are in place for re-skilling and up-skilling staff</li><li>• Clear communications with staff e.g. Chief Executive's briefings</li><li>• Report on impact of measures put in place to address issues with recruitment and retention in children's social care taken to CMT in June 2016.</li><li>• Step Up to Social Work Scheme in place</li><li>• Transformation funding for short term projects</li><li>• Changing model of delivery to self service</li><li>• Digitalising</li></ul>		<p><b>Further Mitigation</b> <i>(what more should we do to reduce risk to our risk appetite level) and opportunities</i></p> <table><thead><tr><th></th><th>Officer responsible</th><th>Target date</th></tr></thead><tbody><tr><td>N/A</td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></tbody></table>		Officer responsible	Target date	N/A																																
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 Strategic Theme 6: Strong, safe, supportive and self-reliant communities

**Risk 15: IT infrastructure or systems unavailable due to IT failure, non-compliance with PSN/PCI requirements, insufficient IT staff resources of the required calibre to deliver services/projects, an incident preventing the functioning of IT or IT suppliers being unable to deliver/maintain systems.**

Risk Owners: Director  
Corporate Services

**Risk Rating (Likelihood x Impact)**

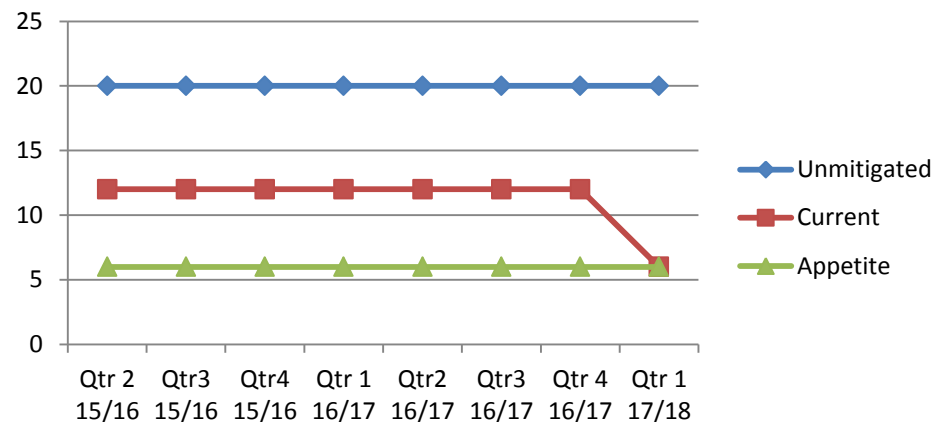
Unmitigated 4 x 5

Current Residual 2 x 3

Appetite 2 x 3

**Potential Impact**

Disruption to services. Failure to meet statutory duties. Removal of access to external databases and systems e.g. DWP



**Rationale for current score:**

Interim chief officer and new Strategy in place

**Rationale for risk appetite**

Appetite is low due to dependency on IT for delivery of all services

**Current RAG rating**

**Green**

**Current Actions** (What we are currently doing about the risk)

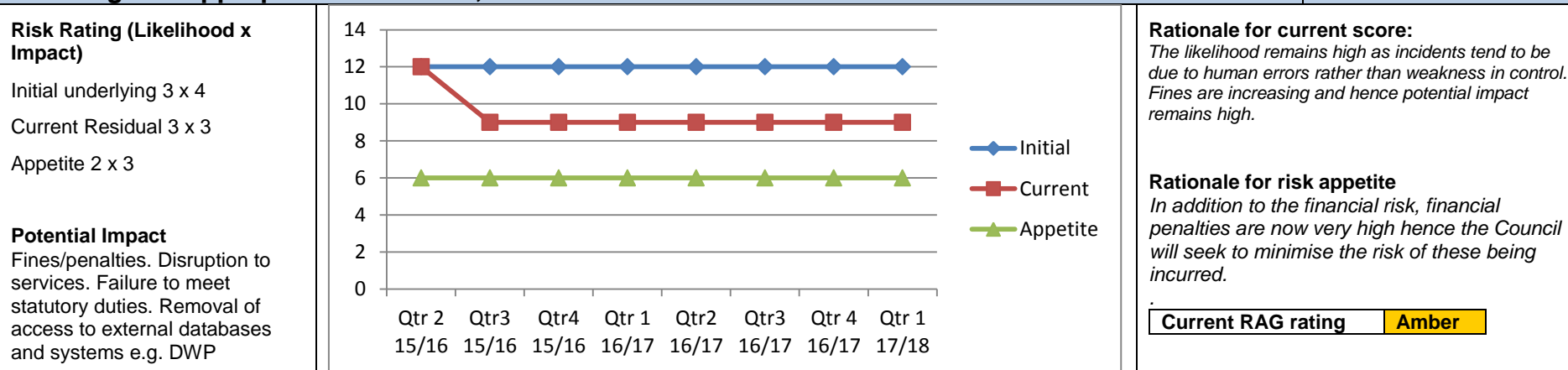
- Power generator in place and system replicated.
- Network/WAN connectivity - a waiver has been secured to continue with our current solution for 3 years as it is not cost effective to change
- New mobile telephony contract to be awarded
- Annual PSN Code of Connection compliance submission.
- Disaster Recovery testing has commenced
- Disaster Recovery contract with a provider to get systems up and running and an Action Plan for the systematic recovery of systems
- Backup solution. implemented
- New provisional ICT and Digital Strategy to be implemented

**Further Mitigation** (what more should we do to reduce risk to our risk appetite level) and opportunities

	Officer responsible	Target date
N/A		

Strategic Theme 1: Value for money  
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 Strategic Theme 6: Strong, safe, supportive and self-reliant communities

**Risk 16: Council unable to comply with data protection/security requirements to secure data resulting in inappropriate disclosure, loss or theft of sensitive data.** Risk Owners: Director Corporate Services



<b>Current Actions</b> <i>(What we are currently doing about the risk)</i> <ul style="list-style-type: none"><li>• Training policy for information security and data protection. Mandatory training requirements now tailored to the degree of access to sensitive information and staff have been classified by their level of access to determine the level of training they should receive. Training programme has now been delivered.</li><li>• Communication of and training ongoing on data protection and information security, course combined and being run by Training team. Security training now mandatory for all staff.</li><li>• Quarterly monitoring of information security breaches at Information Governance Group, SRMG and at CMT.</li><li>• Information Asset Register in place and preliminary risk assessment undertaken. IT systems holding information assets are now being identified.</li><li>• Information management group monitoring PCI compliance</li></ul>	<b>. Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b> <table><tr><td></td><td><b>Officer responsible</b></td><td><b>Target date</b></td></tr><tr><td>Requirement for classification of all emails being removed</td><td>Director of Corporate Services</td><td>Qtr 2</td></tr><tr><td></td><td></td><td></td></tr></table>		<b>Officer responsible</b>	<b>Target date</b>	Requirement for classification of all emails being removed	Director of Corporate Services	Qtr 2			
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<b>Risk 17: Business Continuity Plans and procedures inadequate or not clearly communicated and understood.</b>	<b>Risk Owners:</b> Borough Treasurer

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<p><b>Current Actions</b> <i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"><li>• Council Wide Business Continuity Plan has been updated to reflect the revised critical functions and has been agreed at SRMG.</li><li>• Key contracts are monitored on a regular basis as part of the contract performance mechanisms in place for all contractors. This should address any capacity or performance issues that might indicate that there may be issues with financial/general viability</li><li>• Financial assessments of tenderers undertaken for all major contracts let by the Council and annual financial assessment checks where appropriate for major contractors</li><li>• In the process of implementing a new backup solution. Once this is in place, a disaster recovery test will be planned.</li><li>• To raise profile of having effective contract management in place</li><li>• Increased resilience due to power generator being in place and system replication</li><li>• <i>Council Wide Business Continuity Plan to be updated to reflect current contacts and revised critical functions as agreed at SRMG</i></li><li>• Decision on delivery of emergency planning to be determined over the next few months</li></ul>	<p><b>Further Mitigation</b> (what more should we do to reduce risk to our risk appetite level) and opportunities</p> <table><tr><th></th><th>Officer responsible</th><th>Target date</th></tr><tr><td>N/A</td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>		Officer responsible	Target date	N/A					
	Officer responsible	Target date								
N/A										

<b>Strategic Theme 1: Value for money</b> <b>Strategic Theme 2: A Strong and Resilient Economy</b> <b>Strategic Theme 3: People have the life skills and education opportunities they need to thrive</b> <b>Strategic Theme 4: People live active and healthy lifestyles</b> <b>Strategic Theme 5: A clean, green growing and sustainable place</b> <b>Strategic Theme 6: Strong, safe, supportive and self-reliant communities</b>		
<b>Risk 18: Council unable to implement legislative changes. Legal challenge on decisions relating to levels of service provision</b>		<b>Risk Owners:</b> Director Corporate Services

<b>Risk Rating (Likelihood x Impact)</b>  Unmitigated 4 x 4  Current Residual 2 x 3  Appetite 2 x 3  <b>Potential Impact</b> Litigation. Prosecution Financial penalties/cost. Loss of reputation	<table><thead><tr><th>Quarter</th><th>Unmitigated</th><th>Current</th><th>Appetite</th></tr></thead><tbody><tr><td>Qtr 2 15/16</td><td>16</td><td>6</td><td>6</td></tr><tr><td>Qtr 3 15/16</td><td>16</td><td>9</td><td>6</td></tr><tr><td>Qtr 4 15/16</td><td>16</td><td>9</td><td>6</td></tr><tr><td>Qtr 1 16/17</td><td>16</td><td>6</td><td>6</td></tr><tr><td>Qtr 2 16/17</td><td>16</td><td>6</td><td>6</td></tr><tr><td>Qtr 3 16/17</td><td>16</td><td>6</td><td>6</td></tr><tr><td>Qtr 4 16/17</td><td>16</td><td>6</td><td>6</td></tr><tr><td>Qtr 1 17/18</td><td>16</td><td>6</td><td>6</td></tr></tbody></table>	Quarter	Unmitigated	Current	Appetite	Qtr 2 15/16	16	6	6	Qtr 3 15/16	16	9	6	Qtr 4 15/16	16	9	6	Qtr 1 16/17	16	6	6	Qtr 2 16/17	16	6	6	Qtr 3 16/17	16	6	6	Qtr 4 16/17	16	6	6	Qtr 1 17/18	16	6	6	<b>Rationale for current score:</b> <i>Due to introduction of IIR 35 and in particular the potential impact of GDPR which comes into effect in April 2018.</i>  <b>Rationale for risk appetite</b> <i>Due to need to comply with statutory requirements</i> .  <table><tr><td><b>Current RAG rating</b></td><td><b>Green</b></td></tr></table>	<b>Current RAG rating</b>	<b>Green</b>
Quarter	Unmitigated	Current	Appetite																																					
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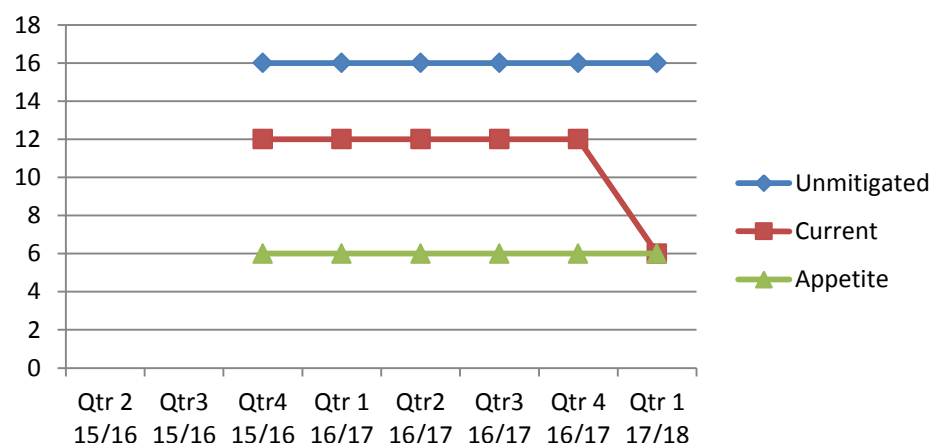
<b>Current Actions</b> <i>(What we are currently doing about the risk)</i> <ul style="list-style-type: none"><li>Monitoring negotiations quarterly to identify what might go to Land Tribunal</li><li>Monitoring implications of Employment Tribunal ruling regarding conclusion of overtime in holiday pay.</li><li>Monitoring Officer checks on AGS assurance statements from Directors on compliance with legislation</li><li>Annual contract monitoring report (£35k report presented to CMT. Robust consultation arrangements as well as our Equality Impact assessment processes for proposals to change service provision</li><li>Risk registers for transformation projects include legal issues and Union engagement around staffing</li><li>Responding to changes on local government funding. education</li><li><i>Gap analysis on GDPR scheduled for June</i></li><li><i>IR 35 review being planned</i></li></ul>	<b>. Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b> <table><tr><th></th><th>Officer responsible</th><th>Target date</th></tr><tr><td>N/A</td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>		Officer responsible	Target date	N/A					
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Strategic Theme 1: Value for money  
 Strategic Theme 2: A Strong and Resilient Economy  
 Strategic Theme 3: People have the life skills and education opportunities they need to thrive  
 Strategic Theme 4: People live active and healthy lifestyles  
 Strategic Theme 5: A clean, green growing and sustainable place  
 Strategic Theme 6: Strong, safe, supportive and self-reliant communities

**Risk 19: Security controls in place fail to prevent a cyber attack. Weaknesses in incident management arrangements prevent the Council from responding quickly and effectively to a cyber attack.**

**Risk Owners:** Director Corporate Services

**Risk Rating (Likelihood x Impact)**  
 Unmitigated 4 x 4  
 Current Residual 2 x 3  
 Appetite 2 x 3  
**Potential Impact**  
 Disruption to services. Failure to meet statutory duties



**Rationale for current score:**  
 Vulnerabilities remain due to the risk of human error so there is a need to be vigilant but ICT are now confident that they can respond effectively.

**Rationale for risk appetite**  
 Low due to dependency on IT and sensitivity of some of data held  
 .

**Current RAG rating** Green

**Current Actions** *(What we are currently doing about the risk)*

- Communication to raise staff awareness to risks
- Policies and procedures on what devices can connect to the network .
- Spam filters
- Personal message manager
- Disaster recovery testing has commence
- Disaster Recovery contract with a provider to get systems up and running and an Action Plan for the systematic recovery of systems
- backup solution now in place .

**Further Mitigation** *(what more should we do to reduce risk to our risk appetite level) and opportunities*

	Officer responsible	Target date
N/A		



RISK MATRIX

LIKELIHOOD

5					
4					
3					
2					
1					
	1	2	3	4	5

IMPACT

Likelihood:  
5 Very High  
4 High  
3 Significant  
2 Low  
1 Almost Impossible

Impact:  
5 Catastrophic  
4 Critical  
3 Major  
2 Marginal  
1 Negligible

