

Corporate Risk Register
Summary Page
Updated 30/01/17

APPENDIX A

Key

Current Score:	VH = Very High	H = High	M = Medium	L = Low
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Risk Matrix

LIKELIHOOD	6				
	5				
	4		28	12	
	3		27	7,8,14,23	
	2		18,20	2,29	
	1				
		2	4	6	8

IMPACT

Ref	Risk		Existing controls	Further Actions to Mitigate Risk	Lead		Risk Rating			
	Cause	Consequence/ Impact			Officer	Member	Impact	Likelihood	Current Score	Appetite/ Target
2	Risk of inability to match supply and demand for school places		<ul style="list-style-type: none"> Schools subject to conditions survey / annual survey of sufficiency vs projected need 	Active delivery of Primary School implementation plan phase 1 Judith Ramsden Review date April 2018	JR	CHT	8	2	M	L
	Factors behind rising primary rolls include migration into the borough reflecting the active housing market and associated high rates of house building on both SDL and other sites. This is despite a reducing birth rate from 2012 to 2015 (the last reported statistics). Secondary place sufficiency is not considered a risk at least in the short term because of the opening of new schools in Wokingham (Bohunt) and Reading (Maiden Erlegh in Reading). Migration means that families with children move into the borough and require school places. This makes it challenging to predict and meet demand and leads to geographically localised pressure (Earley and Shinfield) and pressure in particular year groups (Years 2 and 4).	<ul style="list-style-type: none"> Insufficient places Reputation damage Quality of education affected Resources lost to council due to development of free schools /academies Impact on family stress if children not educated locally/split siblings. Impact on road congestion Infrastructure affected Perceived as less attractive place Increased demand for transport and associated cost pressures 	<ul style="list-style-type: none"> Local Core Strategy approved by Executive Annual capital programme signed off 2013 agreed action plan implemented as part of the approved Primary Provision Strategy Liaison with other LAs for constant learning about funding regimes for academies and free schools High profile project plans Secondary school provision strategy implemented New Arborfield secondary school opened September 2016 Primary school provision strategy 2015 to 2018 agreed Primary School implementation plan phase 1 agreed Two school expansions implemented New school in Wokingham Town opened Sep 16 135 additional Reception places in the pipeline for September 2017. Additional primary school in Shinfield planned for September 2017 	Refresh Secondary School strategy Judith Ramsden Review date December 2016						

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110	<p>most vulnerable children and young people in the Borough.</p> <p>A failure to follow procedures, equip the workforce with the right skills and training, or to deliver appropriate resources or services in a timely way raises a risk of serious or significant harm to a vulnerable child or young person with whom the council is working.</p>	<ul style="list-style-type: none"> • Damage to reputation • Litigation • Low staff morale - loss of staff, unstable workforce - poor outcome for children, unmanageable budget. • Recruitment and retention problems • Removal of senior managers and impact on continuity of delivery for children and families • Impact of being judged inadequate by Ofsted could lead to statutory/government intervention. 	<p>for outcomes</p> <ul style="list-style-type: none"> • Case Supervision also subject to regular audit and new process in place in line with the Practice framework. • Training and CPD • Recruitment and retention strategy embedded • Strengthened LSCB support • Implementation of agreed recommendations from Children's Services Safeguarding internal audit and quality assurance reports • MASH has been in place since April 2016. 	<p>Assurance of impact and embedding of our Practice Framework Judith Ramsden Review date 31/03/17</p> <p>Funding issues to be addressed with school forum regarding contribution to education focussed safeguarding leadership. Judith Ramsden Review date September 2017</p>						
	<p>8</p> <p>Risk of avoidable serious harm or death of a vulnerable adult for whom the council has a responsibility.</p> <p>WBC has a statutory duty to meet the care needs of, and safeguard the most vulnerable adults in the Borough. It is vital to ensure continued focus on Safeguarding systems and procedures.</p> <p>The ongoing public sector finance constraints when set</p>	<ul style="list-style-type: none"> • Damage to reputation and public confidence in services • Possible external intervention from statutory agencies such as DH, CQC or Police) • Disruption of service provision • Litigation • Impact on staff morale 	<ul style="list-style-type: none"> • Policies and Procedures (multi-agency) in place • Referral system and assessment processes • Management and supervision of staff • Staff Training and awareness • Duty response • Good recruitment and retention of social care professionals • Interagency working • Berkshire West Safeguarding Board operating effectively • Dedicated Safeguarding Manager 	<p>Policy and Procedures review March 2017</p> <p>Audit and review of most vulnerable carers (following Community Safety Partnership domestic homicide review) - current Judith Ramsden to review the report by February 2017</p> <p>Safeguarding Peer Review Action Plan being implemented – to April 2017 Judith Ramsden – Review February 2017</p>	JR	JMS	8	3	H	L

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111	<p>against continued demographic pressures requires careful judgement to ensure essential services remain sustainable - continued pressure to hold fees may result in workforce recruitment problems and/or provider failure.</p> <p>There is a risk of failure to safeguard vulnerable adults, either through systemic failure, or an individual failure, leading to the serious harm or death of a vulnerable adult.</p>	<ul style="list-style-type: none"> Recruitment and retention problems Removal and replacement of senior managers 	<p>Safeguarding Team and & Safeguarding Prevention posts</p> <ul style="list-style-type: none"> Ongoing widely accessible Safeguarding Training programme and events Widely publicised Safeguarding Protocol and procedures Clear lines of accountability for safeguarding adults Regular safeguarding reports to HWLT Audit (Internal and External Inspections) Support with confidence programme for accrediting small providers Optalis contract as emergency provider in case of external provider failure Care Governance Quality Assurance system for providers Market Failure Protocol in place Ongoing review of financial pressures on providers including decisions on fee increases and impact of National Living Wage. Ongoing dialogue with providers about service provision Continued monitoring of Safeguarding and wider service provision by Senior management Continued monitoring of the Service's capacity to meet 							

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			statutory duties within budgetary constraints							
12	Risk that essential transport infrastructure suffers from lack of investment and/or inadequate management of major highways projects leading to an unsafe and/or congested highway network		<ul style="list-style-type: none"> Highways Alliance Partnership working Wokingham Highways Alliance Risk Register in place H&S system in place and maintained for all Alliance staff and appropriate controls for consultants and contractors Formal inspection and reporting regime of all critical infrastructure Use of professional consultants Infrastructure upkeep investment funds set out in MTFP Updating and improving the transport asset management in line with effective highways asset management Plan to inform necessary investment Financial checks on main contractors and consultants Compliant procurement and contract management Maximising opportunities for capital and grant funding Communication of highway projects and initiatives 	<p>Enhanced Highways Alliance partnership to ensure service delivery, efficiency and innovation Alex Deans Review date 31/03/17</p> <p>Highways & Transport Service Review and new major contracts operating from April 2019 Alex Deans Review date 31/03/17</p> <p>Highways Asset Management aligned with adopted strategy & policy including formalised program of highways inspections reviewed and modernised with "risk based" approach as required by DfT by November 2018 Alex Deans Review date 31/03/17</p> <p>Forward Plan of all highway planned works to 2018/19 Alex Deans Review date 31/03/17</p> <p>Forward Plan of major highway projects to support SDL's and strategic sustainable housing delivery to 2021 Alex Deans Review date 31/03/17</p> <p>Effective communication with key stakeholders, business, residents and Members Alex Deans Review date 31/03/17</p>	JW	MR	8	4	H	M
14	Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning		<ul style="list-style-type: none"> Reduce capital programme in line with delay in receipts 	The Council has initiated a Capital Review Group (CRG) with senior representatives from all services areas.	GE	AP	8	2	M	H

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113	<p>The Council has significant investment aspirations including Strategic Development Locations (SDL's), Town Centre Regeneration, school rebuilds and housing provision. This is in the context of limited resources and a complex funding source. The Council needs to ensure it guards against any unmet critical needs and prioritise its aspirations over the long term.</p> <p>Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning.</p>	<ul style="list-style-type: none"> Insufficient school places Financial shortfall Negative PR Loss of rental income Scheme slippage / downsizing 	<ul style="list-style-type: none"> Increase borrowing Closer monitoring of on-site schemes Quarterly refresh of capital programme Refreshed corporate asset management plan Annual capital bidding system and capital programme in place Programme Board for Town Centre Regeneration Project Forward Funding Asset Review Programme Meeting the Council's strategic capital requirement, incorporating Strategic Development Locations (SDL) in the medium term financial plan. Resource planning for Strategic Development Locations (SDL) infrastructure needs. 	<p>A robust project appraisal framework and ranking criteria have been established. A fully funded 3-year capital programme has been presented to and agreed by the Corporate Leadership Team.</p> <p>The CRG will meet on a quarterly basis – with the next cycle in March 2017 - to ensure effective ongoing management of the overall programme.</p> <p>John Ogden Review date 30/04/17</p>						
	<p>18</p> <p>Risk of a significant fine and reputational damage due to loss of confidential/ sensitive data</p> <p>The Council holds information of a confidential and sensitive nature. There have been past breaches of information security and it is an area under intensive scrutiny from the Information Commissioner. The primary risk is likely to concern paper based</p>	<ul style="list-style-type: none"> Imposition of a substantial fine Reputational damage/ bad media coverage Breach of contract and payment of damages Loss of future business Increased number of complaints 	<ul style="list-style-type: none"> Information Security Management System - governance for this area including SIRO & IGG roles Encrypted IT equipment Secure storage/ lockers at council offices Robust policies in this area Mandatory refresher programme recently undertaken Archiving of physical records Training for staff on document / 	<p>Continuing IGG programme of work & quarterly updates to CLT. Compliance checks carried out by the IGG members who monitor areas and note any potential issues or concerns, and advise staff if they have any questions.</p> <p>Improved management of the Council's retention schedule and implementing retention codes to systems so that we don't hold data longer than necessary. Automatic</p>	GE	PJ	6	2	M	L

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	documents. Loss of confidential or sensitive data, leading to a significant fine and reputational damage for the council, with a potentially damaging impact on the resident/ customer to which the information relates.	<ul style="list-style-type: none"> Loss of trust from partner organisations/contractors. 	<p>information handling and basic information security practice</p> <ul style="list-style-type: none"> Secure e-mail solution Document marking scheme 	<p>deletion once retention periods are met rather than manual deletion. The physical records going to archive also now must have a retention period catalogued.</p> <p>Information Asset Registers in place and under constant review by nominated Information Asset Owners to ensure we know what information is held and where. Links in with retention.</p> <p>Reviewing and overseeing our partners/contractors where a shared service exists (or ALMO) to ensure that they meet sufficient training, security and handling of data as stated in the contract or ISA, especially in cases where WBC remains the Data Controller. Publicising <i>all</i> ISAs on the Councils website, so that citizens know how their data may be shared. Also allows staff to know which organisation information can be shared with safely.</p> <p>Consideration for more 'opportunistic TLS' connections with partner organisations to ensure emails go securely and efficiently. Consideration for restricting how GCSx/Secure emails are sent to prevent unsecure emails being sent.</p> <p>Updating and reviewing process, training material, policies, privacy</p>						

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115				<p>notices, website, grapevine/replacement as part of the 21st CC to comply with the EU GDPR that comes into effect in May 2018 so that staff understand new legislation/regulations, or who to speak to, to get advice and guidance.</p> <p>Documenting of Privacy Impact Assessments (PIA) at the beginning of major projects containing sensitive/personal data.</p> <p>Sally Watkins Review Date 31/03/17</p>						
20	<p>Risk that the council, embarking on a major change programme, the 21 Century Council, fails to maintain service delivery standards, to deliver associated savings, or to effect the change, in structures and behaviours, to deliver the vision for the new Council's operating model</p> <p>There needs to be clarity and understanding, among officers and politicians, about the new model and its implementation. Buy-in and commitment from staff will be necessary as ways of working change. Effective leadership, management, engagement and training will be critical factors.</p> <p>Risk that the council does not deliver its vision and</p>	<ul style="list-style-type: none"> • Service delivery failure • Organisational dissonance • Confusion or discontent within the organisation • Lack of clarity • Non-compliance with legislation 	<ul style="list-style-type: none"> • C21 Council Business Case and Implementation Plan • Joint Board • C21C Member-Officer Working Group • Council Plan • Programme and project management • Performance management framework • ECLT & CLT ownership and leadership • Monthly highlight report on Joint Board progress • Programme Board Risk Register and risk management • Departmental 21st Century Council Risk Registers 		AC	KB	6	2	M	L

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	priorities as a result of service failure.									
23	<p>Risk of Health and Safety Failure Leading to Death or Serious Injury</p> <p>If the council fails to protect the health and safety of its employees and other persons who come into contact with the services provided by the authority there is a risk of serious injury or death.</p> <p>There is a risk that a health and safety failing could result in an intervention by a relevant enforcement agency and potential enforcement action or conviction.</p>	<ul style="list-style-type: none"> Enforcement notices and HSE fines for intervention Unlimited fine Custodial Sentence Publicity Order (Corporate Manslaughter only) Remedial Order (Corporate Manslaughter and HSWA) Publicity Order (Corporate Manslaughter only) Removal of key staff Reputational damage Service delivery loss due to depleted resources Damage to individuals wellbeing An avoidable death or injury 	<ul style="list-style-type: none"> Risk profile - Awareness of high risk areas Ongoing compliance with statute policies and procedures Seeking Assurance programme Compliance with Health and Safety policies and procedures Management and Member performance monitoring reporting from Health and Safety staff Contracts with third parties include a Health and Safety clause, setting out what the Council expects from the contractor in relation to Health and Safety obligations Incident reporting, following Health and Safety process should death or serious injury occur Training of managers and staff - Health and Safety training Annual historical benchmarking review of all Corporate Manslaughter and relevant Health and Safety cases in order to identify the key risk area Review across the Council of the arrangements in place to protect staff against violence at work 	<p>Health and Safety training to be included in the Management Induction Programme for all new managers.</p> <p>(a) An e-learning module 'Health and Safety Essential - Being a Manager' went live in January 2017. It covers the principal requirements under H&S law and what is expected of a WBC manager. The official launch is scheduled for April 2017 to coincide with phase one of the 21st Century Council implementation.</p> <p>(b) The development of the second module 'Health and Safety Essentials – Risk Management' is underway; release is scheduled for May 2017.</p> <p>Veronica Glenister Review date 28/02/2017</p> <p>Training for managers and staff who procure and manage contracts to ensure that the Council as a client discharges its H&S duties.</p> <p>The key H&S requirements in relation to selecting and managing contractors have been incorporated into the e-learning module described above i.e. 'Health and Safety Essential - Being a Manager'.</p> <p>The Procurement and Contract Service is developing an e-learning module</p>	AC	KB	8	3	H	L

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117				<p>specific to procurement and contract management; the key H&S messages will be reinforced within that piece of training.</p> <p>Veronica Glenister Review date 28/02/2017</p> <p>To set up a Lone Working and Work-related Violence Task & Finish Group with representatives from all services to develop a short term and long term improvement plan.</p> <p>The Task & Finish Group have made recommendations to improve the arrangements for managing the risks associated with lone working and violence at work.</p> <p>(a) Short term:</p> <ul style="list-style-type: none">• Training<ul style="list-style-type: none">○ greater relevance in scenarios○ be clearer about the level/type of training required by role group• Lone Worker Monitoring – to explore the option of a central system/contract• Incident reporting – to continue to raise staff awareness• Violent Warning System – to re-establish the central Cautions List and provide guidance <p>Actions within the short term plan are being progressed.</p> <p>(b) Longer Term</p> <ul style="list-style-type: none">• Violent Warning System –						

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				<p>21st Century Council technology will provide the integrated solution as part of the phase 2 CRM development.</p> <p>A specification of requirements will be drawn up</p> <p>Veronica Glenister Review date 28/2/17</p>						
27	<p>Failure of Health and Social Care system</p> <p>Degree and scale of change to the health and social care system combined with financial pressure on health and adult social care budgets in the face of increasing pressures on services from demographic pressures and new Care Act duties will destabilise or cause wholesale system failure.</p> <p>Health and social care provision requires significant and sometimes complex pathways, accountabilities and funding. There are significant co-dependencies with other health and support services. Pressure on Health Services may result in a shift to meeting unfunded higher levels of need through social care</p>	<ul style="list-style-type: none"> • Vulnerable residents receive inadequate or unsafe responses and services. • Risk to health and wellbeing of vulnerable people • Negative impact on health of local population. • More costly unplanned or acute interventions required. • Failure to meet legal responsibilities. • Reputational damage. • Unfunded service/contract liabilities. 	<ul style="list-style-type: none"> • Local multi-agency project board steering integration projects • Oversight by Health and Well-Being board • Healthwatch scrutiny • Berkshire West Integration Board coordinating wider health and social care system • Regular and direct Senior Management scrutiny of service pressures and provision • Close working between the Council and Health Partners at all levels • Ongoing collaboration and joint working with health service partners • Sustainability and Transformation Plans being developed for the Berkshire, Oxfordshire and Buckinghamshire STP region. 	<p>Local health and care integration system regularly monitored through WISP.</p> <p>Judith Ramsden – Review date February 2017</p> <p>Better Care Fund sponsored Wokingham Integrated Social Care and Health short term service has been fully operational since April 2016 and has recorded significant performance improvement and savings. Further plan to integrate Community Health and Social Care being presented to partner agencies for approval.</p> <p>Judith Ramsden – Review date January 2017</p> <p>CHASC Implementation Plan will be monitored through WISP Board</p>	JR	JMS	6	3	M	L

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	provision which the service is unable to meet. Equally failure of social care services to meet care needs in the community may significantly impact on local health services.									
28	<p>Inability to cope with increased burdens associated with the change to eligibility criteria and other additional requirements of the Care Act</p> <p>The Care Act 2014 introduced new national eligibility criteria with a threshold lower than that previously operated by the council. In consequence the council acquired statutory responsibilities to meet a wider range of needs for a larger number of people. The Care Act also introduced new duties to provide services for carers.</p> <p>The scale of the new duties and the systems required to support them pose a risk that the council will fail to meet demand for services. The additional cost of the meeting the new eligibility criteria and uncertainty over</p>	<ul style="list-style-type: none"> • Failure to meet new duties/demand • Inability to carry out timely assessment of vulnerable adults • Inability to fund services to meet statutory needs of all residents • Risk to health and wellbeing of vulnerable people • Unsustainable budget pressure • Reputational damage • Inability to recruit/retain assessment staff • Failure to meet legal responsibilities. 	<ul style="list-style-type: none"> • Oversight by Health and Well-Being board • Dedicated finance and strategy resource to provide project capacity • Ongoing monitoring of impact of Care Act • Review of operational process and practice to ensure efficient allocation of resources • Ongoing review of cost of providing services and identifying commissioning efficiencies 	<p>Further to research exercise the Department of Health has determined that the additional burden is not made out. WBC disagrees and will proceed with Judicial Review of the DoH's decision. Increased demand is evident. Provision has been made in the Council's budget</p> <p>Members will need to agree to joint legal action with West Berkshire LA February 2017.</p>	JR	JMS	6	4	H	L

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	the degree to which government will help to meet this cost places the council at risk of unsustainable budgetary pressures and failure to meet its statutory duties.									