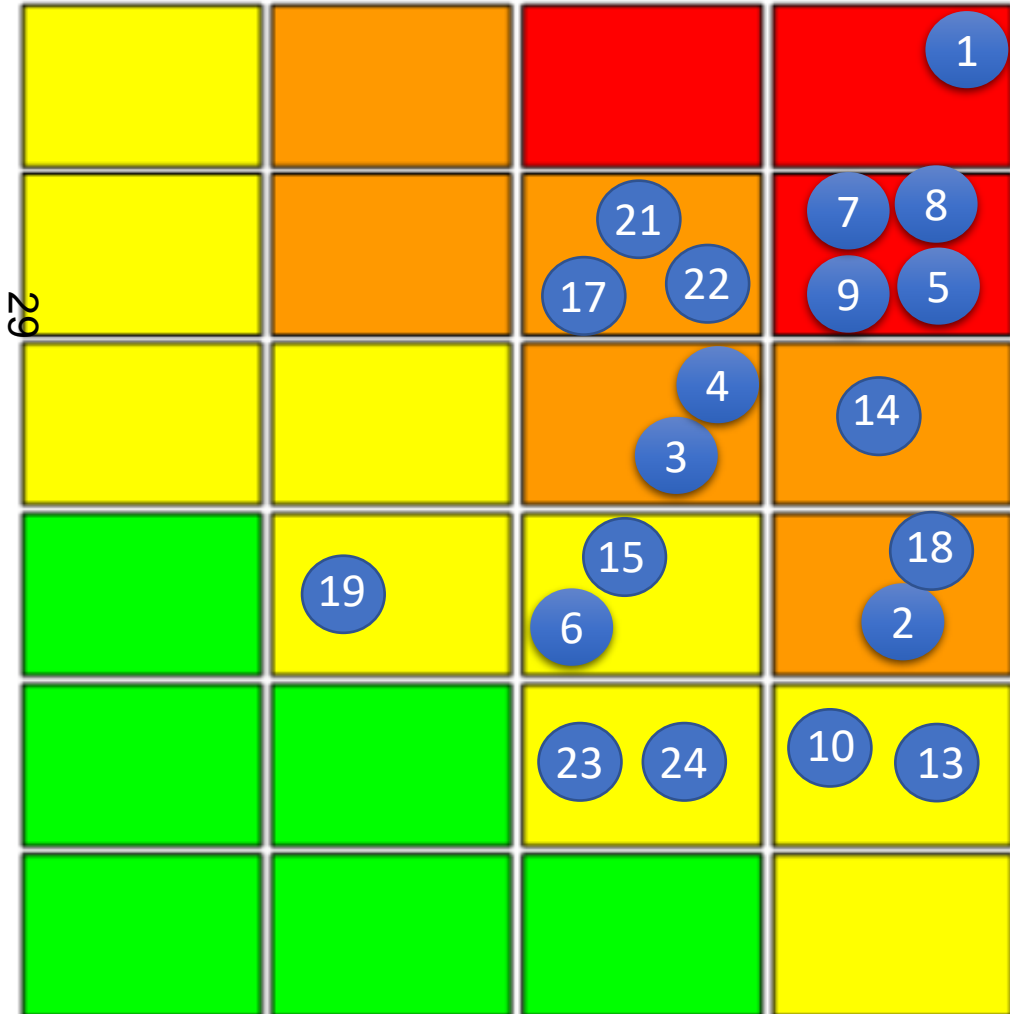


# Appendix A - Corporate Risk Register

November 2023

Current Assessment	Very High	High	Medium	Low
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## Impact



Ref	Risk
1	Budget & Financial Resilience
2	Corporate Governance
3	Workforce
4	Uncontrolled Development (Local Plan Update)
5	Outcomes & Costs for Children with SEND
6	Health & Safety
7	ASC Supplier Sustainability and Sufficiency
8	Cyber Security
9	Climate Emergency
10	Major Emergency Response (e.g. Pandemic)
13	Adult Safeguarding
14	Children's Safeguarding
15	Resources to support emerging communities
17	Mainstream Education Provision
18	Magnitude of change for 2024 Elections
19	Information Governance
21	Local Affordable Housing Needs
22	Support for Unaccompanied Asylum Seeking Children
23	Significant Procurement Activity P&G (2026)
24	Waste Collection Changes

## **Key to Abbreviations**

SC - Cllr Stephen Conway, Leader of Council and Executive member of housing  
PB - Cllr Prue Bray, Deputy Leader and Executive member for children's services  
CJ - Cllr Clive Jones, Executive member for business and economic development  
RBF - Cllr Rachel Bishop Firth, Executive member for equalities, inclusion & fighting poverty  
LF - Cllr Lindsay Ferris, Executive member for planning and the local plan  
SK - Cllr Sarah Kerr, Executive member for climate emergency and residents services  
IS - Cllr Ian Shenton, Executive member for the environment, sports and leisure  
PF - Cllr Paul Fishwick, Executive member for active travel, highways and transport  
DH - Cllr David Hare, Executive member for wellbeing and adult services  
ISD - Cllr Imogen Shepherd-Dubey, Executive member for finance

SP Susan Parsonage, Chief Executive  
GE  Graham Ebers, Deputy Chief Executive & Director of Resources & Assets  
SW Sally Watkins, Chief Operating Officer (COO)  
HW Helen Watson, Director of Children's Services  
GF Giorgio Framaliccio, Director of Place & Growth  
MP Matt Pope, Executive Director Children, Adults and Health  
AM Andrew Moulton, Assistant Director Governance & Monitoring Officer  
GC Graham Cadle, Assistant Director Finance  
LL Louise Livingston, Assistant Director Human Resources and Organisational Design  
TS Trevor Saunders, Assistant Director, Planning  
JW Jackie Whitney, Assistant Director, Customer and Change  
RH Rhian Hayes, Assistant Director Economy and Housing  
FH Francesca Hobson, Assistant Director Environment and Safety

## **Key Priorities (from Community Vision and Council Plan)**

1. Safe, strong communities
2. Enriching lives
3. Right homes, right places
4. Keeping the Borough moving
5. A clean and green Borough
6. Changing the way we work
7. Be the best we can

MZ Ming Zhang, Assistant Director Education and SEND  
SM Sarah Morgan, Assistant Director Commercial Property  
MD Mark Douglas, Children's Services  
AD Adam Davies, Assistant Director Social Care and Early Help

## Key Priority at Risk: Community Vision

Owner

Change

1

### RISK: Budget and financial resilience

ISD

GE

Increase

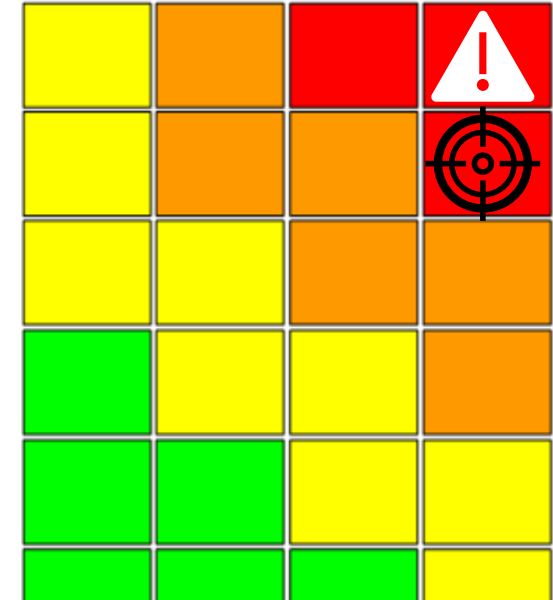
Due to significant increased costs (including inflation and national minimum wage), loss of income, increased cost of borrowing and/or non-realisation of forecast savings and increased demand for services due to the cost of living there is a risk that the Council is unable to finance its current services resulting in a reduction in reserves, cuts in services, failure to meet statutory duties, and if unchecked a Section 114 notice.

#### Existing Controls:

31

- CFO report (Jan Executive)
- Financial and Contract Regulations (section 12 & 13 constitution)
- Budget Monitoring (Revenue & Capital)
- Strategic Approach to Capital Investment (Capital Strategy & Treasury Management Strategy)

- Internal Audit Annual Report
- Annual External Audit of Accounts
- Overview and Scrutiny consideration of 23/24 budget
- Cipfa Code of Financial Management Review



Current Risk 
 Target 
 Risk on Target

Mitigating Actions	Owner	Date	Status
Overview & Scrutiny Budget Overview including reserve position	GC	2 October 2023	Complete
Sign off of Annual Accounts 2021/22 (depends on external audit of pension fund)	GC	February 2024	At risk
Constitution Review of financial, governance and procurement regulations	AM	March 2024	Some issues
Internal Audits of financial systems	GC	March 2024	On track
Review of capital programme and associated monitoring (Gold Group)	GC	March 2024	On track
Review of Cipfa Code of Financial Management action plan	GC	November 2024	Some issues
Review of the councils overall financial standing and reserves	GC	November 2024	On track

## Key Priority at Risk: Community Vision

2

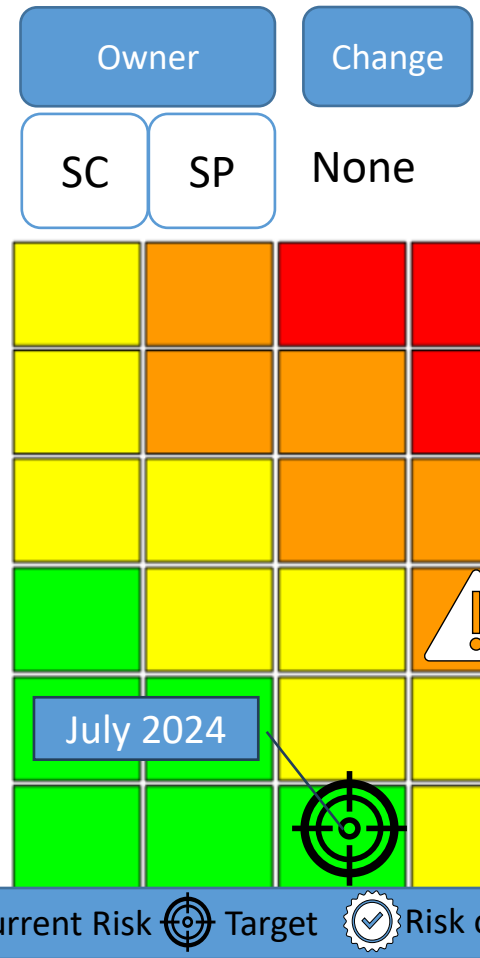
### RISK: Corporate Governance

Governing effectively to ensure achievement of the Council’s purpose and priorities within the resources available and achieving value for money. Without effective corporate governance, there is a risk that through unethical behaviour or ineffective decision-making, residents lose trust in the way the Council undertakes and carries out its duties.

#### Existing Controls:

Community Vision and Corporate Delivery Plan  
 Local Code of Corporate Governance  
 Constitution (i.e. Council rules of procedure, conduct and compliance, anti fraud & corruption policies)  
 Annual Governance Statement  
 Key Performance Indicator Reporting (OSMC) and Annual Report

Risk Management Policy & Guidance  
 Audit Committee Review of Risk Register  
 Internal Audit Annual Report  
 External Audit Management Letter  
 Standards Committee Annual Report  
 Overview & Scrutiny Annual Report  
 LGA Corporate Peer Challenge & Follow up visit  
 Governance Dashboard



32

⚠️ Current Risk 🎯 Target ✅ Risk on Target

Mitigating Actions	Owner	Date	Status
Interim Council Plan	SP	November 2023	On track
Review of phase 1 of the Council's Constitution	AM	March 2024	Some Issues
Assurance Framework presented to Audit Committee	AM	February 2024	On track
Community Vision agreed with Partners	SP	July 2024	On track
Annual Governance Statement	AM	July 2024	On track

## Key Priority at Risk: Community Vision, Safe, Strong Communities & Enriching Lives

3

### RISK: Workforce

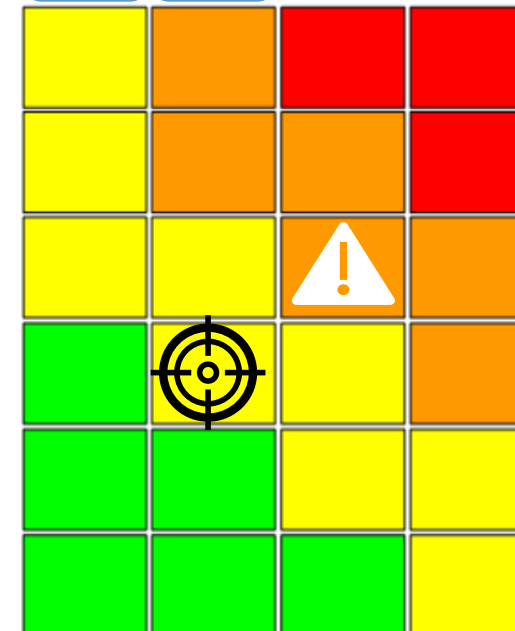
Due to the national challenges in recruiting and retaining permanent staff with the right levels of skills, competence and experience, there is a risk to the council's ability to deliver its community vision and statutory responsibilities, which could, if not managed lead to fines, reputational risks and harm to residents.

#### Existing Controls:

- Annual Performance Regime
- HR Hub
- Reward and Recognition
- Training Budgets
- Recruitment Specialists
- Corporate Agency Contract

- Workforce Dashboard and Establishment reporting
- IT systems (BWO, Applicant Tracking and Learning Management)
- Mandatory Training
- Learning & Organisational Development Functions

Owner		Change	
RBF	SW	None	



Warning Current Risk Target Risk on Target

33

Mitigating Actions	Owner	Date	Status
Engage with stakeholders to undertake HR policy review with implementation and training programme set up to support review	LL	End Jun 24	On track
Engagement with stakeholders to write the People Strategy	LL	End Mar 24	On track
Review of all Recruitment processes	LL	End Jan 24	On track
Leadership Learning programme in development	LL	End Jan 24	Some issues

## Key Priority at Risk: Right Homes, Right Places

4

### RISK: Uncontrolled Development - Local Plan Update

Without effective planning policies, there would be no real control or influence over where and how new housing and other types of development take place. This could lead to housing and other forms of development being allowed in poor locations, being of lower quality, and in places where infrastructure cannot be improved to help deal with the impacts.

#### Existing Controls:

- Timetable for adoption of new Local Plan in place but needs to be reviewed
- Resources allocated and kept under review
- Cross party planning policy working group reconstituted following election of new administration

- O&S regular update on LPU progress
- Revised growth strategy consulted upon in November 2021 – January 2022
- Monitoring housing developments and five-year land supply

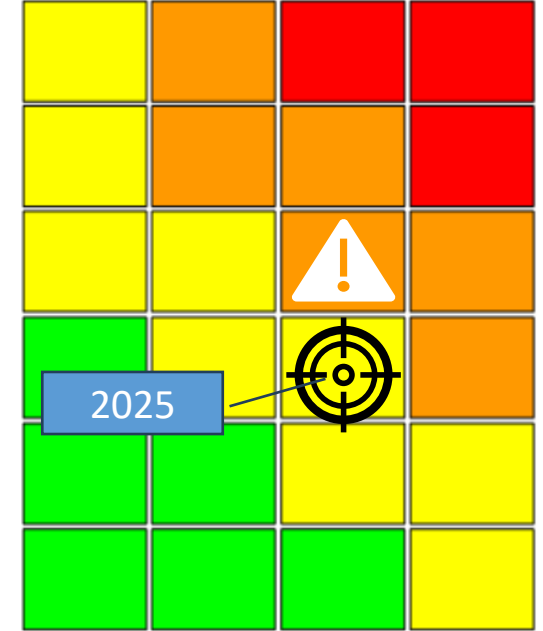
Owner

Change

LF

GF

None



⚠ Current Risk    🎯 Target    ✅ Risk on Target

34

### Mitigating Actions/Key Milestones

Next local plan consultation stage (Regulation 19)  
Submission of Local Plan Update to Government

Owner

Date

Status

TS  
TS

November 2023  
June 2024

On track  
On track\*<sup>1</sup>

Inspector examination

TS

August 2024 – Jan  
2025

On track

Adoption of LPU

TS

December 2025

On track\*<sup>2</sup>

1. Revised national planning policy framework- expected this autumn- (no particular timings) affecting the council action.

2. Delay in earlier stages could delay the legal process later.

## Key Priority at Risk: Enriching Lives & Safe, strong communities

5

### RISK: Outcomes and Costs of Provision for Children with SEND

Due to increased demand and complexity (and expanded inspection regime) there is a risk that there are insufficient funds to ensure Children with SEND's needs are met without further overspend on the High Needs Block (£10m+) and the related transport costs, risking a substantial impact on the Council's finances.

#### Existing Controls:

- Childrens' Services Overview & Scrutiny
- Collaboration with SEND Voices & SENDIASS Wokingham
- Monitoring and Forecasting of Need and Demand
- Gold & Silver Monitoring and Direction Meetings Weekly
- Learning from other Local Authorities (Safety Valve & Ofsted Inspected Authorities)
- SEND Inspection Readiness Working Group

- Improved relationships with providers
- Weekly meetings with DfE SEND Advisor
- Deficit Reduction Plan
  - Expansion of Addington School
  - Winnersh Farm School (Oak Tree)
  - PRU improvement
  - Resource Base & SEND Unit review
  - Successful School Bids (x2)
- SEND Improvement Board

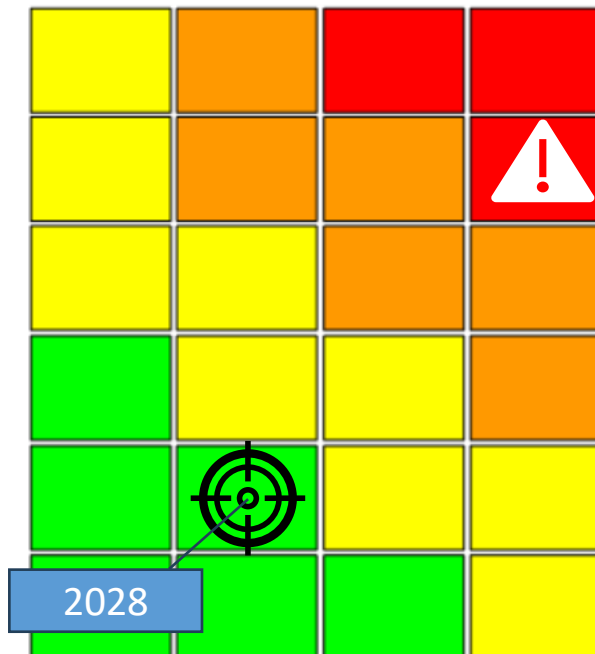
Owner

Change

PB

HW

None



2028

Warning Current Risk Target Risk on Target

35

Mitigating Action	Owner	Date	Status
Launch of interim Specialist Outreach Model for Early Intervention (full model in development)	MZ	September 2023	Some Issues
New SEN Resource Bases open	MZ	September 2024	On track
New Post 16 Pathways open	MZ	September 2025	On track
Two new Special Free Schools Open	MZ	September 2026	On track
Two new Special Free School full	MZ	September 2028	On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

6

### RISK: Health & Safety

Due to insufficient capability, capacity and awareness there is the risk that the Council does not meet its statutory duties in key areas leading to avoidable harm, litigation, fines, corporate manslaughter and reputational damage.

#### Existing Controls:

- Health & Safety Statutory policies in place
- Strategic Plan to identify continuous improvement “Seeking Assurance” programme (two yearly)
- Health & Safety specialist advisers in place

- Incident Reporting System
- H&S Board established

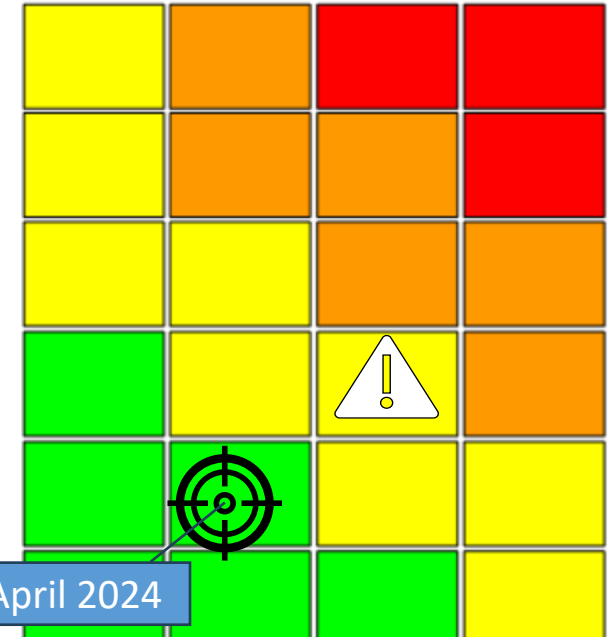
Owner

Change

RBF

SP

None



April 2024

Warning Current Risk Target Risk on Target

36

#### Mitigating Action

Commissioning an external peer such as the British Safety Council to review our H&S compliance and support overall focus and direction

Owner

Date

Status

LL

November 23

On track

Refine H&S key performance indicators

LL

December 23

On track

Health and Safety Board implements an annual safety improvement action plan

GE

April 24

On track



## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

7

### RISK: Adult Social Care Supplier Sustainability and Sufficiency

Due to increasing needs of our local older and disabled people population demand is increasing, placing the social care system under huge strain. It is acknowledged that nationally that there has historically been insufficient funding within the care sector to meet the challenges faced by our local care providers. The lack of a permanent, sustainable funding deal are further exacerbated by external factors including the cost-of-living crisis, inflationary pressures and workforce pressures impacting on capacity within the sector leading to a high level of instability within the social care market. There is a risk that a provider may fail, that we are carrying more statutory risk and higher waiting lists, or that we are unable to source care good quality, suitable care for a vulnerable resident. There have been recent provider failures in 2023 and more packages of care handed back by providers. Not only is this impacted on our finances but if the risk continues, it is expected to also have an impact on the quality of care delivered.

#### Existing Controls:

- Care Capacity Tracker monitoring and targeted action taken as required
- Lobbying of MPs and Government
- Workforce Strategy workstreams in place
- In-house provision (via Optalis) is seen as one of our best opportunity to control costs and managing sufficiency within the local market

- Quarterly provider forums
- Early warning flags identified for key providers
- Offered commissioned providers a 7% (capped so that rates did not go above acceptable threshold) uplift in 2023/24
- Allocation of existing government grants
- Market Sustainability Plan published

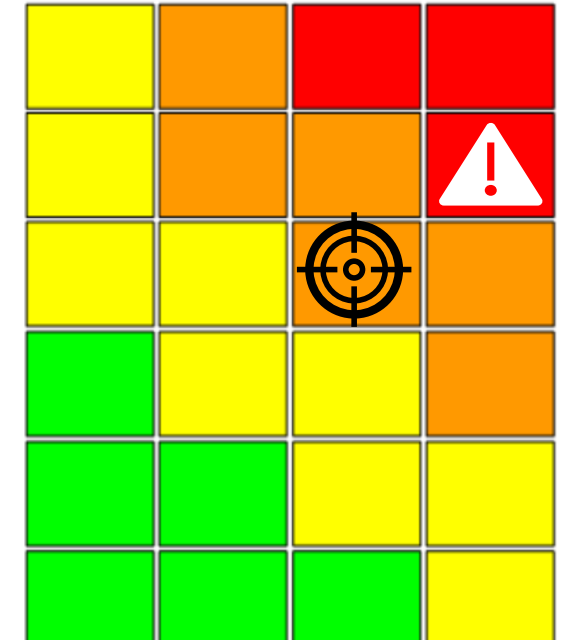
Owner

Change

DH

MP

None



! Current Risk    Target    Risk on Target

#### Mitigating Action

Continue to work with the sector to ensure that commissioning arrangements are fit for purpose

Owner

Date

Status

MP

March 24

On track

Routine monitoring of providers sufficiency with support provided as required, and monthly reviews to assess any wider action required. Contingency planning in place to address any significant issues raised by care providers. Action to remain in place for the remainder of the year and reviewed regularly

MP

March 24

On track

## Objective at Risk: Community Vision

Owner

Change

8

### RISK: Cyber Security

SK

SW

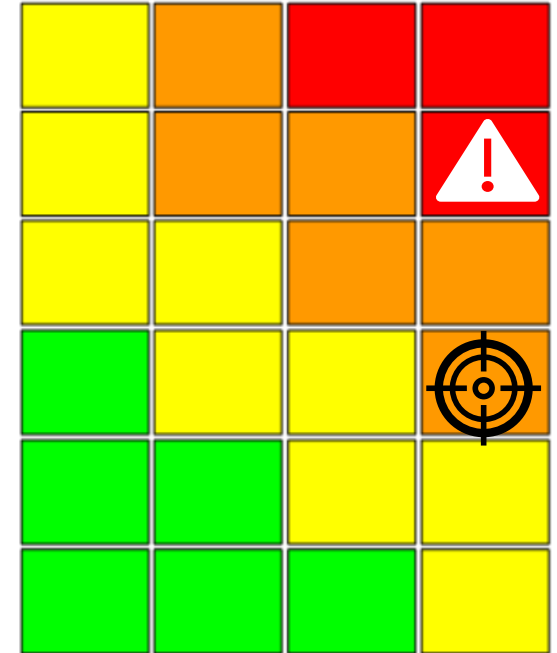
None

Due to an external cyber attack (Ransomware) there is a risk of unavailability of key information and/or disclosure of personal sensitive data causing inability to deliver services, increased costs, fines, reputational damage and loss of trust.

#### Existing Controls:

- Cyber security response team BCP
- Public Service Network Accreditation (expires 2024)
- Independent penetration testing (annual)
- Information Security and Acceptable Use Policy
- Encrypted and patched equipment
- Cyber security awareness campaign
- Internal Audit
- Internal Data & Information Governance Board
- Security monitoring and response

- Routine & Emergency patching and firewall configuration (increased frequency)
- Following NCSC Board Toolkit Action Plan
- Membership of the South East Warning Advisory Group
- Cyber Incident Plan
- Cyber Response Partner
- SEIM and SOC
- Simulated phishing attack programme
- CLT Cyber Security Leadership Briefing



Warning Current Risk Target Risk on Target

38

Mitigating Action	Owner	Date	Status
Cyber incident plan to be created and made operational	LL	June 23	Complete
Internal Audit Action Plan Implementation	LL	June 23	Complete
Commence work on Cyber Essentials Plus or Future Networks 4 Government (FN4G) Accreditation dependant on decommissioning of PSN	LL	Jan 24	Continuing with PSN
Internal simulated phishing campaign	LL	Oct 23	On track

Objective at Risk: A clean and green borough

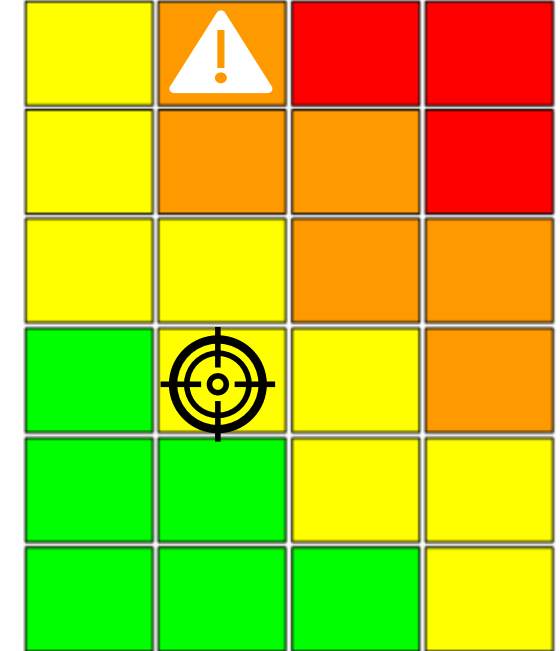
Owner

Change

SK

GF

None



Current Risk Target Risk on Target

9

RISK: Failure to achieve Carbon Neutrality by 2030

Due to the lack of resources, national policy framework, and complexity of behaviour change required, there is a risk that the Borough is unable to meet its carbon reduction aspirations leading to a failure of the Borough to deliver its contribution to climate change reduction.

Existing Controls:

- Climate Emergency Action Plan
- Annual CEAP progress report to Council.
- Monitoring groups to discuss CEAP progress, remove delivery barriers and assess further carbon reduction opportunities.

- Climate Emergency O&S Committee

39

Mitigating Action

Fourth annual progress report on delivery of the Climate Emergency Action Plan to Council

RH

Sept 2024

Some issues

Lobbying national government for additional resources and powers to support the Borough's transition to carbon neutrality.

RH

Jan 2025

At Risk

## Objective at Risk: Safe, Strong Communities

10

### RISK: Major Emergency Response (e.g. Pandemic)

Due to an unlikely but high impact major emergency the Council is required to lead a large-scale community response leading to impact on business as usual and requirement to focus resources on key priorities.

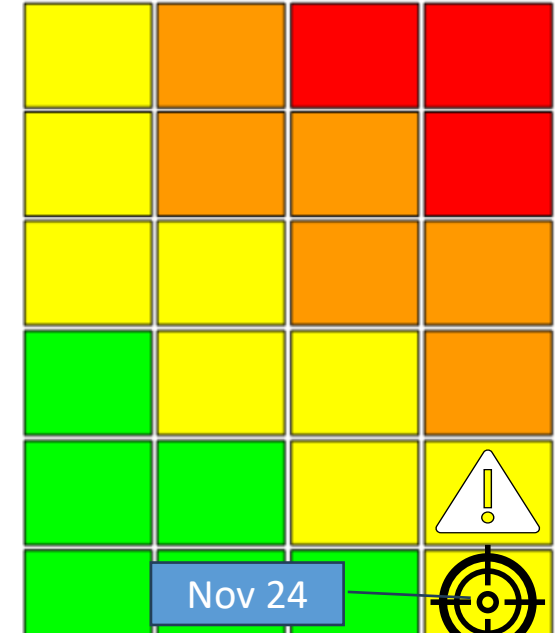
#### Existing Controls:

40

- Emergency plan and Council-wide Business Continuity Planning
- Learning from Overview & Scrutiny review of Covid response
- In-house Emergency Planning Service

- Gold, Silver and Bronze response structure
- Seasonal business continuity training and plan updates
- Delivering training for gold, silver and bronze

Owner		Change	
SC	SP	None	



Current Risk
 Target
 Risk on Target

Mitigating Action	Owner	Date	Status
Silver command restructure	FH/SB	September 2023	Complete??
Service level review of Emergency Planning by neighbouring authority and/or Emergency Planning College	SB	November 2023	On track
Reviewing key emergency plans (including major incident plan)	FH/SB	November 2023	On track
Creation and implementation of revised business continuity programme	FH/SB	November 2024	On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

13

### RISK: Failure to meet statutory duties (Safeguarding Adults)

Due to insufficient capability/capacity, there is the risk that the Council does not meet its safeguarding responsibilities for adults leading to avoidable harm, litigation, fines and reputational damage. There is risk associated with the change in legislation for Liberty Protection Safeguards (LPS) as the plans have not yet been confirmed and the demands on the system are not yet fully known.

41

#### Existing Controls:

- Adult Safeguarding Hub (ASH)
- Pan Berkshire Policies and Procedures
- ASH new proportionate and person-centred processes and pathway
- ASH fully staffed and dedicated Admin
- Effective relationships embedded with key partners and forums
- Management and supervision

- Staff training and awareness
- Berkshire West Safeguarding Board
- Care Governance Quality Assurance
- Risk Assessment for Safeguarding complete
- Joint working between HoS and PSW
- Quality Assurance Framework in place
- Health Overview & Scrutiny Committee

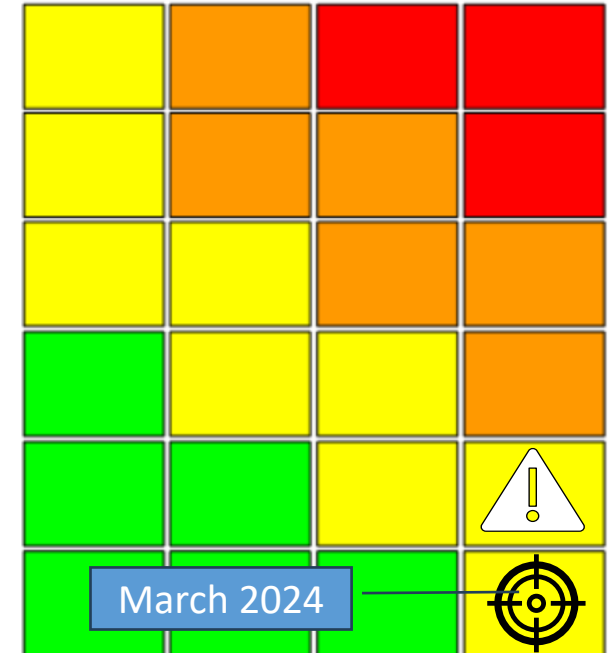
Owner

Change

DH

MP

Increase



Warning Icon Current Risk Target Risk on Target

#### Mitigating Action

ASC workforce strategy and delivery of action plan being driven through a number of workstreams

Owner

MP

Date

March 24

Status

On track

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

14

### RISK: Failure to meet statutory duties (Safeguarding Children)

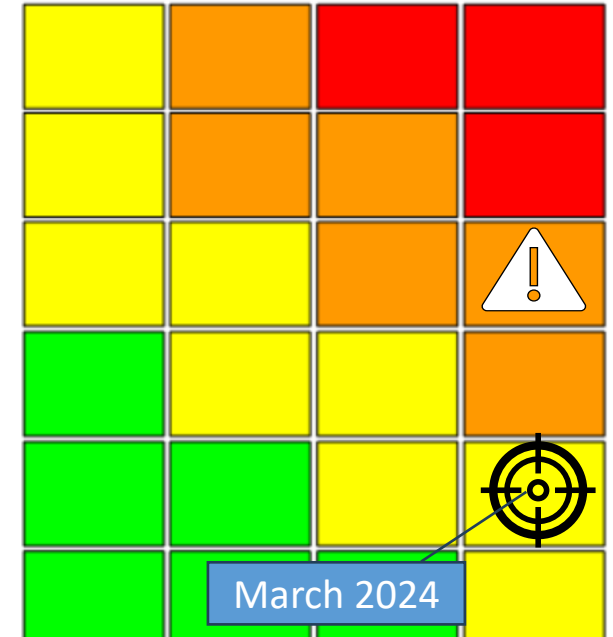
Whilst it is recognised that the risk of harm to children and young people can never be completely eliminated, if sufficient controls are not in place, there is a risk of avoidable harm to children leading to litigation, fines and severe reputational damage to the Council.

#### Existing Controls:

- Scrutiny by the Children's Services O&S Committee
- Scrutiny from the BWSCP Child Protection Procedures and Safeguarding Partnership
- Social work practice development through the Learning & Development Programme
- Quality Assurance Framework
- Case Reviews & Audits
- Robust Policies and Procedures
- Clear Practice Framework
- Staff Supervision, challenge and support

- Manageable caseloads
- ASYE recruitment programme to build social worker pipeline and ensure sufficient capacity.
- Additional Assistant Team Managers to support supervision
- Practice consultants/assistants to support practice quality
- Use of locum staff to fill gaps in workforce as required
- Flexible approach to additional posts as required to meet increase in demand
- Monitoring demand & caseloads, ensuring swift review of staffing needs

Owner		Change
PB	HW	None



Current Risk 
 Target 
 Risk on Target

42

Mitigating Action	Owner	Date	Status
Practice Improvement Programme for Children's Services	MD/AD	March 24	On track
Review of QA Framework to ensure appropriate challenge and identification of emerging risks at the earliest stage	MD	March 24	On track
Recruitment and Retention programme to ensure sufficient capacity and capability	VEK	March 24	On track
Ofsted Improvement Plan Implementation	MD	March 24	On track

## Key Priority at Risk: Safe, Strong Communities

15

### RISK: Resources to support emerging communities

Due to insufficient resources, there is the risk that the Council is unable to meet the needs of Ukrainian's, Hong Kong nationals, and refugees from other countries leading to escalation of needs, ineffective support and damage to community cohesion.

#### Existing Controls:

- Refugee team set up which monitors emerging needs and safeguarding
- A collaboration with Voluntary Sector and Partners to ensure a coordinated approach.
- Child and Adult Safeguarding to protect vulnerable people
- Ensure all grants are claimed for Ukrainian and Afghan refugees
- Educational provision for children and support for adults for employment and benefits

- Caseworkers in place to liaise with hosts and Ukrainian guests.
- Contingency arrangements in place to prevent and respond to relationship breakdown between hosts and guests.
- Links established with Ukraine Centre in Reading.
- Co-produced social inclusion and activity programme with voluntary sector.

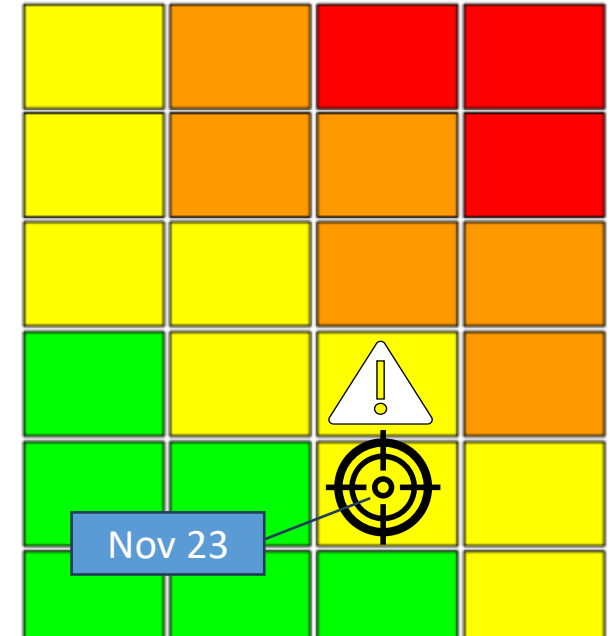
Owner

Change

SC

GF

None



Nov 23

⚠️ Current Risk    🎯 Target    ⚙️ Risk on Target

#### Mitigating Action

Delivery of 17 dwelling capital programme to provide a range of family sized accommodation for Ukrainian and Afghan refugees \*9/17 properties completed and purchase offer agreed on rest.

Owner

Date

Status

RH

November 2023

On track

Implementation of social inclusion and activity events programme

RH

Recurring

On track

## Key Priority at Risk: Enriching Lives

17

### RISK: Mainstream Education Provision

Due to (a) increased numbers of children moving into the borough including international arrivals (Hong Kong nationals and Ukrainian children) in both primary and secondary phases; (b) peak primary rolls passing into the secondary sector; (c) too few places for girls (secondary phase); and withdrawal of capital funding for school place expansion there are risks of (i) a breach in statutory place sufficiency duty and (ii) new capital programme requirements.

#### Existing Controls:

- Primary Strategy 2018 to 2028
- Secondary Strategy 2022
- Forest School to become Co-Ed
- SCAP annual statutory places return to DfE
- Annual update of roll projections
- Regular reports to Children's Services O&SC
- Regular Leadership Team updates
- 'Gold' governance arrangements in place

- Fair Access Protocol
- Regular item at BEP meetings
- Regular meetings with Finance team
- Engagement with schools on additional places
- Relationships with neighbouring boroughs
- Portal based admissions tracking (LA and Schools)

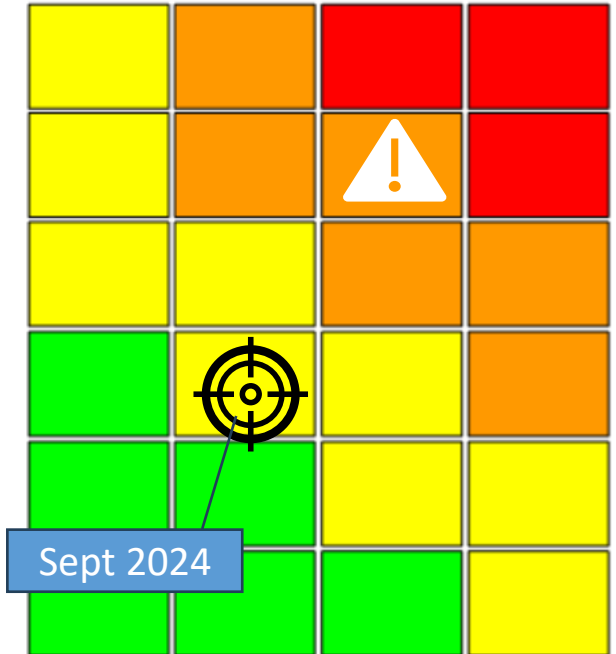
Owner

Change

PB

HW

None



Warning Current Risk Target Risk on Target

#### Mitigating Action

Secondary place strategy school level expansion plans in preparation

Owner

MZ

Date

Sept 2023

Status

Complete

Development of Business as Usual annual school place planning cycle

MZ

December 2023

On track

Engagement with Schools on additional places (above PAN)

MZ

Sept 2024

On track



## Key Priority at Risk: All

18

### RISK: Magnitude of change for 2024 Elections

Due to the potential combination of all-out Borough and Parliamentary (two constituencies) with new polling districts, PPC elections and the implementation of the Elections Act, there is a risk of significant additional administrative burdens resulting in delays to voting, disenfranchisement of some voters, breach of duty, legal challenge, reputational damage, Parliamentary, Borough and/or Parish Councils without democratic legitimacy and potential re-run of elections.

#### Existing Controls:

45

- Guidance from Electoral Commission for electoral administrators and support from Association of Electoral Administrators (AEA)
- National publicity scheme by Electoral Commission (from Jan 2024)
- Additional Government funding received to support implementation of Voter ID
- Dedicated implementation risk register
- Overall project plan for 2024 elections including parliamentary contingency
- Information publicised on Council website

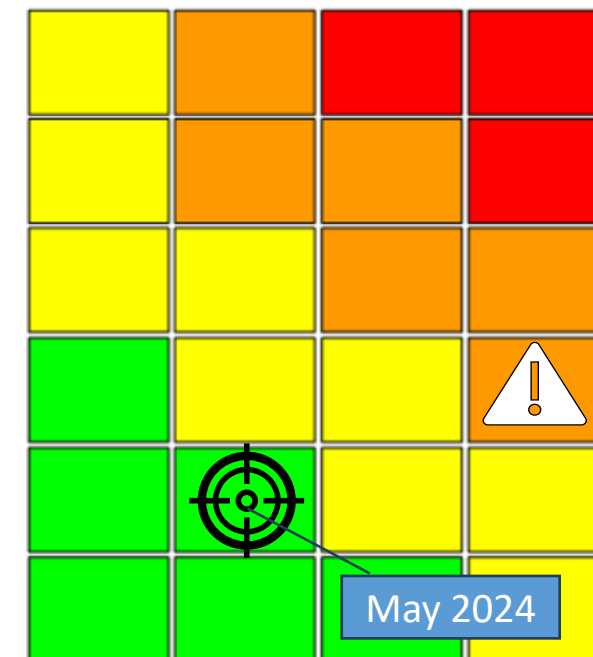
Owner

Change

ISD

AM

New



⚠️ Current Risk    🎯 Target    ✅ Risk on Target

Mitigating Action	Owner	Date	Status
Association of Electoral Administrators (AEA) health check review	AM	November 2023	On track
Polling Places Review	AM	January 2024	On track
Resource planning	AM	March 2024	On track
Communication of electoral commission changes	AM	Jan – May 2024	On track

## Objective at Risk: Community Vision

19

### RISK: Information Governance

Due to gaps in information governance arrangements and inability to support IT solutions for data retention and deletion (e.g. Mosaic), there is a risk of disclosure of personal sensitive data, and unlawful data retention resulting in individual distress, fines, reputational damage and loss of trust. Subject Access Requests (SARs) not being met resulting in fines, reputational damage and loss of trust.

#### Existing Controls:

- Internal Data and Information Governance (DIG) Board
- Mandatory training for new and existing staff
- Information Security and Acceptable Use Policy
- Encrypted equipment
- Secure email
- Document marking scheme

- Performance Monitoring
- Incident Reporting
- Membership of Berkshire DPO Group
- Information Governance Toolkit Assessment
- Guidance from the ICO
- SAR Policies and Procedures
- Monitoring SAR Caseloads
- SAR Reporting into CS Directorate Leadership Team

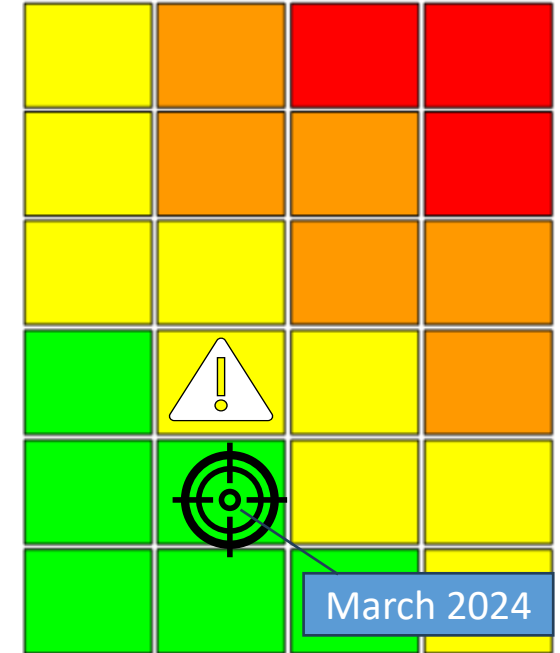
Owner

Change

ISD

GE

None



March 2024

⚠️ Current Risk   🎯 Target   ✅ Risk on Target

46

Mitigating Action	Owner	Date	Status
Information Security & Acceptable Use Policy update	AM	March 2023	Overdue
Implementation of demand management opportunities to reduce SAR requests in children's services	HW	December 2023	On track
Implementation of Information Governance Toolkit Assessment	AM	March 2024	Some issues

## Key Priority at Risk: Right Homes, Right Places

21

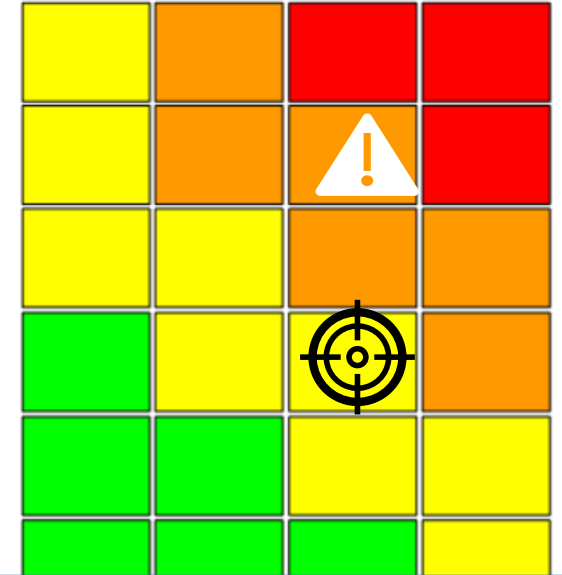
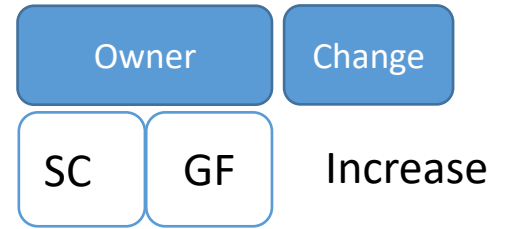
### RISK: Meeting Affordable Housing Need

Due the Council or partners delaying or abandoning pipeline projects as well as private developer sites failing to come forward, in turn providing fewer affordable housing contributions, there is a risk there will be insufficient stock to meet Specialist and General Needs accommodation needs leading to increased pressures on the Council's budgets particularly in Place and Growth, Adults Social Care and Children Services as well as poorer outcomes for residents.

#### Existing Controls:

- Maximising developer contributions in both on-site delivery and S106 commuted sums
- Accessing external grant opportunities through Homes England etc.

- Ensuring pipeline of development for specialist housing
- Assess opportunities in HRA



Current Risk Target Risk on Target

Mitigating Action	Owner	Date	Status
Understand the financial implications of not delivering sufficient accommodation on Council services and looking for opportunities to create savings through increased delivery	RH	October 2023	Complete
Silver groups has been set up to look at the most urgent housing priorities and senior professionals(specialist) workshops being organised to tackle short term housing matters. (Link to Risk 22)	RH	December 2023	On track
Setting the Council's strategic direction through development of new Housing Strategy, Homelessness and Rough Sleeping Strategy and Young People's Housing Strategy with an emphasis on addressing housing need for priority groups	RH	November 2024	On track
Draft Planning policy change to increase the standard and size of affordable housing to met the needs of all residents of the borough including those with additional physical needs	RH	TBC	Some Issues

47

## Key Priority at Risk: Safe, Strong Communities

22

### RISK: Support for Unaccompanied Asylum Seeking Children

Due to insufficient central government funding and in-Borough provision there is a risk that the Council is unable to provide support and local placements for Unaccompanied Asylum-Seeking Children (UASC), including a significant increase in the cost of statutory accommodation for Care Leavers as UASCs reach the age of 18 leading to increased costs and long-term impacts on vulnerable children and young people.

#### Existing Controls:

Ensure all grants are claimed for UASCs Silver Group to identify resources to meet the need.

48

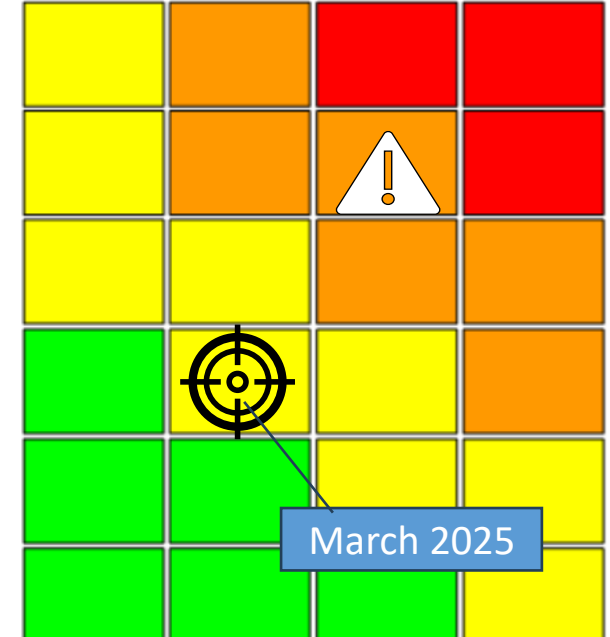
Owner

Change

PB

HW

Increase



Warning Current Risk Target Risk on Target

#### Mitigating Action

Project to Maximise Culturally-Suitable In-House Fostering for UASC.

Owner

HW

Date

September 24

Status

Complete??

Care Leaver Target Operating Model Project: Aim is to create accommodation costing no more than the £270 per week per young person provided by the government including: Supported Accommodation; Affordable and Local Semi-Independent Accommodation; Houses of Multiple Occupancy for those with unresolved status.

HW

March 25

On track

Objective at Risk: Keeping the Borough Moving/Clean and Green Borough

24

Key Front Line Services Re-procurement

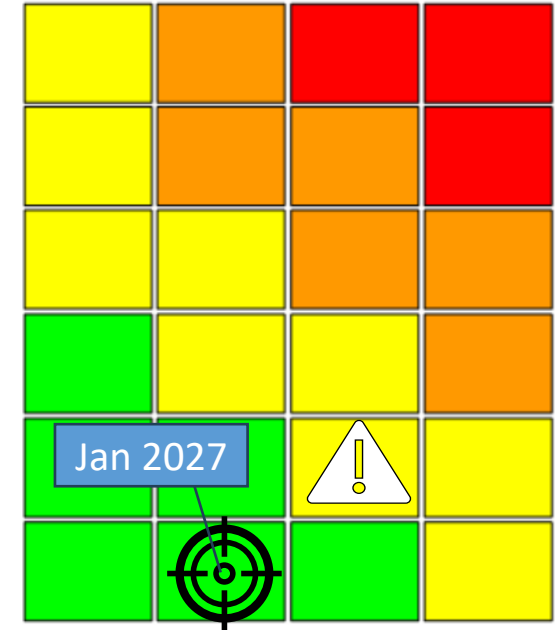
Due to significant Place and Growth Contracts expiring in 2026 (Highways & Street Cleansing, Grounds Maintenance & Waste Collection) there is a risk that contracts are not procured correctly and in time leading to poor service delivery and additional costs.

Existing Controls:

Working groups established.  
 Papers being produced to either recommend extension or re-tender.  
 Market days held with Contractors.  
 Briefing to Portfolio Holders held.

Review of Governance arrangements in place and agreed.  
 Project plans in place.

Owner Change  
 PF/IS GF New



⚠️ Current Risk    🎯 Target    ⚙️ Risk on Target

49

Mitigating Action	Owner	Date	Status
Central working group to be formed including Procurement and Service Areas to ensure contracts are ready for 2026	CE/SB	October 2023	Complete
MTFP being submitted to support external expertise on key projects	SB/PRJ	November 2023	On track

## Objective at Risk: Keeping the Borough Moving

25

### Change in waste collections (2024)

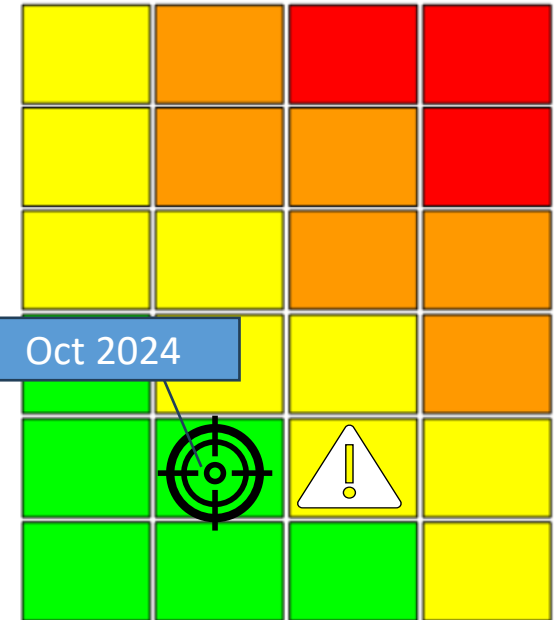
Due to the 2024 bin collection change, there is a risk that financial costs/reputational damage might occur if the project is not delivered correctly or in time.

#### Existing Controls:

- a) Project governance established
- b) Business Case and PID complete
- c) Wheeled bin procurement complete
- d) Wheeled bin delivery procurement awarded

- e) Continued engagement with specialist external waste consultant
- f) Comms engagement started internally

Owner: IS, GF, New  
Change: New



Current Risk  
 Target  
 Risk on Target

50

Mitigating Action	Owner	Date	Status
Robust comms campaign & Member engagement	SB	October 2023	Complete
Robust planning and monitoring of costs/savings	SB	June 23- Oct 24	Ongoing
Identify residents that require assisted collection/larger bins/restricted access	SB	November 2023	On track
Recruitment of outreach officers	SB	December 2023	On track

# Likelihood

51

Score	Level					Description
6	Very High	Certain.	>95%	Annually or more frequently	>1 in 10 times	An event that has a 50% chance of occurring in the next 6 months or has happened in the last year. This event has occurred at other local authorities
5	High	Almost Certain. The risk will materialise in most circumstances.	80 – 94%	3 years +	>1 in 10 – 50 times	An event that has a 50% chance of occurring in the next year or has happened in the past two years.
4	Significant	The risk will probably materialise at least once.	50 – 79%	7 years +	>1 in 10 – 100 times	An event that has a 50% chance of occurring in the next 2 years or has happened in the past 5 years.
3	Moderate	Possible the risk might materialise at some time.	49 – 20%	20 years +	>1 in 100 – 1,000 times	An event that has a 50% chance of occurring in the next 5 or has happened in the past 7 years.
2	Low	The risk will materialise only in exceptional circumstances.	5 – 19%	30 years +	>1 in 1,000 – 10,000 times	An event that has a 50% chance of occurring in the next 10 year or has happened in the past 15 years.

# Impact

Score	Level		Description
8	Critical	Critical impact on the achievement of objectives and overall performance. High impact on costs and / or reputation. Very difficult and possibly long term to recover.	<ul style="list-style-type: none"> <li>Unable to function without aid of Government or other external Agency</li> <li>Inability to fulfil obligations</li> <li>Medium - long term damage to service capability</li> <li>Severe financial loss – supplementary estimate needed which will have a critical impact on the council’s financial plan and resources are unlikely to be available.</li> <li>Death</li> <li>Adverse national publicity – highly damaging, severe loss of public confidence.</li> <li>Litigation certain and difficult to defend</li> <li>Breaches of law punishable by imprisonment</li> </ul>
6	Major	Major impact on costs and objectives. Serious impact on output and / or quality and reputation. Medium to long term effect and expensive to recover.	<ul style="list-style-type: none"> <li>Significant impact on service objectives</li> <li>Short – medium term impairment to service capability</li> <li>Major financial loss - supplementary estimate needed which will have a major impact on the council’s financial plan</li> <li>Extensive injuries, major permanent harm, long term sick</li> <li>Major adverse local publicity, major loss of confidence</li> <li>Litigation likely and may be difficult to defend</li> <li>Breaches of law punishable by fines or possible imprisonment</li> </ul>
4	Marginal	Significant waste of time and resources. Impact on operational efficient, output and quality. Medium term effect which may be expensive to recover.	<ul style="list-style-type: none"> <li>Service objectives partially achievable</li> <li>Short term disruption to service capability</li> <li>Significant financial loss - supplementary estimate needed which will have an impact on the council’s financial</li> <li>Medical treatment require, semi- permanent harm up to 1 year Some adverse publicity, need careful public relations High potential for complaint, litigation possible. Breaches of law punishable by fines only</li> </ul>
2	Negligible	Minimal loss, delay, inconvenience or interruption. Short to medium term affect.	<ul style="list-style-type: none"> <li>Minor impact on service objectives</li> <li>No significant disruption to service capability</li> <li>Moderate financial loss – can be accommodated</li> <li>First aid treatment, non-permanent harm up to 1 month</li> <li>Some public embarrassment, no damage to reputation</li> <li>May result in complaints / litigation</li> <li>Breaches of regulations / standards</li> </ul>