

Corporate Risk Register  
 Summary Page  
 Updated 16/09/16

APPENDIX A

Key

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

		2	4	6	8
LIKELIHOOD	6				
	5				
	4			28	12
	3			27	7,8,14,23
	2			18,20	2,29
	1				
		2	4	6	8
		<u>IMPACT</u>			

Ref	Risk		Existing controls	Further Actions to Mitigate Risk	Lead		Risk Rating			
	Cause	Consequence/ Impact			Officer	Member	Impact	Likelihood	Current Score	Appetite
2	<p>Risk of inability to match supply and demand for school places</p> <p>The number of statutory school places required is uncertain. High rates of housebuilding will lead to upward pressure but the recent fall in the birth rate and the opening of new schools in Reading will reduce demand in the primary and secondary sector respectively. Changing school popularity can have a marked effect where there continues to be some surplus capacity across Wokingham and surrounding local authorities. There are sufficient places in 15/16 and current projects to add further capacity in 16/17 and in future years. Thereafter, there are three significant risks:</p> <ul style="list-style-type: none"> <li>• That meeting the revenue start-up costs of new schools will result in cuts in school and central services provision to the detriment of standards.</li> <li>• That rising capital costs will</li> </ul>	<ul style="list-style-type: none"> <li>• Insufficient places</li> <li>• Reputation damage</li> <li>• Quality of education affected</li> <li>• Resources lost to council due to development of free schools /academies</li> <li>• impact on family stress if children not educated locally/split siblings.</li> <li>• Impact on road congestion</li> <li>• Infrastructure affected</li> <li>• Perceived as less attractive place</li> <li>• Increased demand for transport and associated cost pressures</li> </ul>	<ul style="list-style-type: none"> <li>• Schools subject to conditions survey / annual survey of sufficiency vs projected need</li> <li>• Local Core Strategy approved by Executive</li> <li>• Annual capital programme signed off</li> <li>• 2013 agreed action plan implemented as part of the approved Primary Provision Strategy</li> <li>• Liaison with other LAs for constant learning about funding regimes for academies and free schools</li> <li>• High profile project plans</li> <li>• Secondary school provision strategy implemented</li> <li>• Active development of new Arborfield secondary school</li> <li>• Primary school provision strategy 2015 to 2018 agreed</li> <li>• Primary School implementation plan phase 1 agreed</li> </ul>	<p><b>Active delivery of Primary School implementation plan phase 1</b> Judith Ramsden Review date April 2018</p> <p><b>Refresh Secondary School strategy</b> Judith Ramsden Review date December 2016</p>	JR	CHT	8	2	M	L

Ref	Risk		Existing controls	Further Actions to Mitigate Risk	Lead		Risk Rating			
	Cause	Consequence/ Impact			Officer	Member	Impact	Likelihood	Current Score	Appetite
57	<p>lead to resources being diverted to school projects to the detriment of other WBC capital projects.</p> <ul style="list-style-type: none"> <li>That new sites will not be available in a timely fashion to meet local need.</li> </ul> <p>Risk of inadequate infrastructure and capacity, along with the associated effect on learning and achievement.</p>									
7	<p>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"> <li>Avoidable harm to a vulnerable child</li> <li>Damage to reputation</li> <li>Litigation</li> <li>Low staff morale - loss of staff, unstable workforce - poor outcome for children, unmanageable budget.</li> <li>Recruitment and retention problems</li> <li>Removal of senior managers and impact on continuity of delivery for children and families</li> <li>Impact of being judged</li> </ul>	<ul style="list-style-type: none"> <li>Policies and Procedures</li> <li>Practice Framework implementation</li> <li>Quality Assurance System</li> <li>Line Management</li> <li>Case Supervision</li> <li>Training and CPD</li> <li>Recruitment and retention strategy embedded</li> <li>Strengthened LSCB support</li> <li>Implementation of agreed recommendations from Children's Services Safeguarding internal audit and quality assurance reports</li> </ul>	<p><b>Ongoing improvements to internal quality assurance activity.</b> Judith Ramsden Review date 31/03/17</p> <p><b>Assurance of impact and embedding of our Practice Framework</b> Judith Ramsden Review date 31/03/17</p> <p><b>Development of a Multi-Agency Safeguarding Hub (MASH) to drive better co-operation between key partners.</b> <b>Funding issues to be addressed with school forum regarding contribution to education focussed safeguarding leadership.</b> Judith Ramsden Review date 31/03/17</p>	JR	CHT	8	3	H	L

Ref	Risk		Existing controls	Further Actions to Mitigate Risk	Lead		Risk Rating			
	Cause	Consequence/ Impact			Officer	Member	Impact	Likelihood	Current Score	Appetite
	council is working.	inadequate by Ofsted could lead to statutory/government intervention.								
8	<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 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</p>	<ul style="list-style-type: none"> <li>• Damage to reputation and public confidence in services</li> <li>• Possible external intervention from statutory agencies such as DH, CQC or Police)</li> <li>• Disruption of service provision</li> <li>• Litigation</li> <li>• Impact on staff morale</li> <li>• Recruitment and retention problems</li> <li>• Removal and replacement of senior managers</li> </ul>	<ul style="list-style-type: none"> <li>• Policies and Procedures (multi-agency) in place</li> <li>• Referral system and assessment processes</li> <li>• Management and supervision of staff</li> <li>• Staff Training and awareness</li> <li>• Regular Social Care Pathway meetings and updates</li> <li>• Duty response</li> <li>• Good recruitment and retention of social care professionals</li> <li>• Interagency working</li> <li>• Berkshire West Safeguarding Board operating effectively</li> <li>• Dedicated Safeguarding Manager Safeguarding Team and &amp; Safeguarding Prevention posts</li> <li>• Ongoing widely accessible Safeguarding Training programme and events</li> <li>• Widely publicised Safeguarding Protocol and procedures</li> <li>• Clear lines of accountability for safeguarding adults</li> <li>• Regular safeguarding reports to HWLT</li> <li>• Audit (Internal and External Inspections)</li> </ul>	<p><b>Lessons learnt review to be done following recent provider failure</b></p> <p>Stuart Rowbotham Review date 30/09/16</p> <p><b>Improving market management</b></p> <p>Paul Feven Review date 31/12/16</p>	SR	JMS	8	3	H	L



12	<p>Risk that essential transport infrastructure needs a significant short term investment for repairs</p>		<ul style="list-style-type: none"> <li>• Wokingham Highways Alliance Risk Register in place</li> <li>• Formal inspection regime of all critical infrastructure</li> <li>• Use of professional consultants</li> <li>• Infrastructure upkeep investment funds set out in MTFP</li> <li>• Updating and improving the transport asset management</li> <li>• Plan to inform necessary investment</li> <li>• Financial checks on main contractors every 6 months</li> <li>• Ongoing annual applications for capital funding, in order that remedial works can be undertaken.</li> </ul>	<p><b>Advanced protection of parapets at railway crossings to be reviewed.</b> Alex Deans Review date 31/12/16</p> <p><b>Forward plan of capital works to 2019/20</b> Alex Deans Review date 31/12/16</p> <p><b>Formalised program of inspections</b> Alex Deans Review date 31/12/16</p> <p><b>Preparation and Adoption of Highways Asset Management Policy &amp; Strategy</b> Alex Deans Review date 31/12/16</p>	HT	JK	8	4	H	M
14	<p>Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning</p> <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</p>	<ul style="list-style-type: none"> <li>• Insufficient school places</li> <li>• Financial shortfall</li> <li>• Negative PR</li> <li>• Loss of rental income</li> <li>• Scheme slippage / downsizing</li> </ul>	<ul style="list-style-type: none"> <li>• Reduce capital programme in line with delay in receipts</li> <li>• Increase borrowing</li> <li>• Closer monitoring of on-site schemes</li> <li>• Quarterly refresh of capital programme</li> <li>• Refreshed corporate asset management plan</li> <li>• Annual capital bidding system and capital programme in place</li> <li>• Programme Board for Town Centre Regeneration Project</li> <li>• Forward Funding</li> <li>• Asset Review Programme</li> <li>• Meeting the Council's strategic capital requirement, incorporating Strategic Development Locations (SDL) in the medium term financial plan.</li> <li>• Resource planning for Strategic Development Locations (SDL)</li> </ul>	<p><b>Seek to limit gap between infrastructure capital expenditure and related capital receipts (S106 / CIL).</b> Martin Jones / Mark Cupit Review date 30/11/16</p>	GE	AP	8	3	H	H

	priorities through insufficient resources or inadequate planning.		infrastructure needs.								
18	Risk of a significant fine and reputational damage due to loss of confidential/ sensitive data		<ul style="list-style-type: none"> <li>Information Security Management System - governance for this area including SIRO &amp; IGG roles</li> <li>Encrypted IT equipment</li> <li>Secure storage/ lockers at council offices</li> <li>Robust policies in this area</li> <li>Mandatory refresher programme recently undertaken</li> <li>Archiving of physical records</li> <li>Training for staff on document / information handling and basic information security practice</li> <li>Secure e-mail solution</li> <li>Document marking scheme</li> </ul>	<p><b>Continuing IGG programme of work &amp; quarterly updates to CLT</b></p> <p>Sally Watkins Review Date 31/12/16</p>	GE	PJ	6	2	M	L	
	<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 documents.</p> <p>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.</p>	<ul style="list-style-type: none"> <li>Imposition of a substantial fine</li> <li>Reputational damage/ bad media coverage</li> <li>Breach of contract and payment of damages</li> <li>Loss of future business</li> <li>Increased number of complaints</li> <li>Loss of trust from partner organisations/contractors.</li> </ul>									
20	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		<ul style="list-style-type: none"> <li>C21 Council Business Case and Implementation Plan</li> <li>Joint Board</li> <li>C21C Member-Officer Working Group</li> <li>Council Plan</li> <li>Programme and project management</li> <li>Performance management framework</li> <li>ECLT &amp; CLT ownership and leadership</li> </ul>	<p><b>To be confirmed: Risk Register for C21C programme under development</b></p> <p>Andrew Moulton Review Date 31/12/16</p>	AC	KB	6	2	M	L	
	<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</p>	<ul style="list-style-type: none"> <li>Service delivery failure</li> <li>Organisational dissonance</li> <li>Confusion or discontent within the organisation</li> <li>Lack of clarity</li> <li>Non-compliance with legislation</li> </ul>									

	<p>working change. Effective leadership, management, engagement and training will be critical factors.</p> <p>Risk that the council does not deliver its vision and priorities as a result of service failure.</p>		<ul style="list-style-type: none"> <li>Monthly highlight report on Joint Board progress</li> </ul>											
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"> <li>Enforcement notices and HSE fines for intervention</li> <li>Unlimited fine</li> <li>Custodial Sentence</li> <li>Publicity Order (Corporate Manslaughter only)</li> <li>Remedial Order (Corporate Manslaughter and HSWA)</li> <li>Publicity Order (Corporate Manslaughter only)</li> <li>Removal of key staff</li> <li>Reputational damage</li> <li>Service delivery loss due to depleted resources</li> <li>Damage to individuals wellbeing</li> <li>An avoidable death or injury</li> </ul>	<ul style="list-style-type: none"> <li>Risk profile - Awareness of high risk areas</li> <li>Ongoing compliance with statute policies and procedures</li> <li>Seeking Assurance programme</li> <li>Compliance with Health and Safety policies and procedures</li> <li>Management and Member performance monitoring reporting from Health and Safety staff</li> <li>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</li> <li>Incident reporting, following Health and Safety process should death or serious injury occur</li> <li>Training of managers and staff - Health and Safety training</li> <li>Annual historical benchmarking review of all Corporate Manslaughter and relevant Health and Safety cases in order to identify the key risk area</li> <li>Review across the Council of the arrangements in place to protect staff against violence at work</li> </ul>	<p><b>Health and Safety training to be included in the Management Induction Programme for all new managers with a planned launch date of October 2016.</b> Veronica Glenister Review date 31/10/16</p> <p><b>Training for managers and staff who procure and manage contracts to ensure that the Council as a client discharges its H&amp;S duties.</b> Veronica Glenister Review date 30/11/16</p> <p><b>To set up a Lone Working and Work-related Violence Task &amp; Finish Group with representatives from all services to develop a short term and long term improvement plan.</b> Veronica Glenister Review date 31/10/16</p>	AC	KB	8	3	H	L				



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 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.</p>	<ul style="list-style-type: none"> <li>• Vulnerable residents receive inadequate or unsafe responses and services.</li> <li>• Risk to health and wellbeing of vulnerable people</li> <li>• Negative impact on health of local population.</li> <li>• More costly unplanned or acute interventions required.</li> <li>• Failure to meet legal responsibilities.</li> <li>• Reputational damage.</li> <li>• Unfunded service/contract liabilities.</li> </ul>	<ul style="list-style-type: none"> <li>• Local multi-agency project board steering integration projects</li> <li>• Oversight by Health and Well-Being board</li> <li>• Healthwatch scrutiny</li> <li>• Berkshire West Integration Board coordinating wider health and social care system</li> <li>• Regular and direct Senior Management scrutiny of service pressures and provision</li> <li>• Close working between the Council and Health Partners at all levels</li> <li>• Ongoing collaboration and joint working with health service partners</li> </ul>	<p><b>Local health and care integration project.</b></p> <p>Stuart Rowbotham Review date 31/12/16</p>	SR	JMS	6	3	M	L
28	<p>Inability to cope with increased burdens associated with the change to eligibility criteria and other additional requirements of the Care Act</p>	<ul style="list-style-type: none"> <li>• Oversight by Health and Well-Being board</li> </ul>	<p><b>Challenge to DoH funding determination, to secure funding to meet additional burdens</b></p>	SR	JMS	6	4	H	L	

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.

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 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.

- 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.

- Dedicated finance and strategy resource to provide project capacity
- Ongoing monitoring of impact of Care Act 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

Stuart Rowbotham Review date  
31/12/16

