

Corporate Risk Register
 Summary Page
 Updated 25/1/18

APPENDIX A

Key

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

LIKELIHOOD	6				
	5				
	4				
	3			27	7,8,14
	2			18, 20	23
	1			2, 28	
			2	4	6
		<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/ Target
2	<p>Risk of inability to match supply and demand for school places</p> <p>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).</p> <p>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).</p>	<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"> • Schools subject to conditions survey / annual survey of sufficiency vs projected need • Local Core Strategy approved by Executive • Annual capital programme • Secondary school provision strategy implemented • Primary school provision strategy 2015 to 2018 agreed • Refreshed Secondary School Strategy approved by Executive in July 2017 	<p>Review/refresh Primary School Strategy Review date April 2018, go live date Sept 18.</p>	PS	MA	6	1	L	L

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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 vulnerable adult.</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 • Recruitment and retention problems • Removal and replacement of senior managers 	<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 • Berkshire West Safeguarding Board operating effectively • Optalis contract as emergency provider in case of external provider failure • Care Governance Quality Assurance system for providers • Market Failure Protocol in place 	<p>Mitigations are currently being reviewed – a verbal update was provided at the Audit Committee meeting on 4 December 2017</p>	PS	RD	8	3	H	L
14	Risk that the Council fails to deliver key investment priorities		<ul style="list-style-type: none"> • Reduce capital programme in line 	The Council has initiated a Capital	GE	JMS	8	2	M	H

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	<p>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>	<p>complaints</p> <ul style="list-style-type: none"> Loss of trust from partner organisations/contractors. 	<ul style="list-style-type: none"> Training for staff on document / information handling and basic information security practice Secure e-mail solution Document marking scheme 	<p>do not hold data longer than necessary. Automatic 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 notices, website, grapevine/replacement as part of the</p>							

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				<p>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</p>							
1020	<p>Risk that the council, embarking on a major change programme, the 21 Century Council, fails to maintain service delivery standards, to manage information security, 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 priorities as a result of</p>	<ul style="list-style-type: none"> • Service delivery failure • Organisational dissonance within the organisation • 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 	<p>Lessons Learned from Phase 1 being incorporated into the plan and approach for Phase 2.</p> <p>Governance arrangements examined by Audit Committee.</p> <p>Overall programme considered by Overview & Scrutiny management committee.</p>	MG	CHT	6	2	M	L	

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	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>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>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>Latest statutory Health & Safety report for 2016/17 refers to current plans.</p>	MG	CHT	8	2	M	L

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27	Sustainable Transformation Partnerships (STPs) align effectively with Borough governance		<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. Better Care Fund Enhanced section 75 working 	<p>STP alignment.</p> <p>Berkshire West Integration Board (West Berks, Reading and Wokingham) comprising portfolio holders and executive management (Chief Executives etc) reviewing health & social care system locally i.e. each authority's governance arrangements are aligned with the partnership strategies for improvement.</p> <p>Review date March 2018</p>	MG	RD	6	3	M	L
<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"> 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. 									

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28	Leadership. Risk of business continuity, performance dips and not securing value for money through the use of interims in senior management positions for an extended period of time.		<ul style="list-style-type: none"> Clear strategy for the use of interims e.g. through transition period during 21CC implementation. 	<p>Completion of Personnel Board process for the appointment of permanent Chief Executive.</p> <p>Putting in place permanent staff in People Services.</p>	MG	CHT	6	1	L	L