

**Corporate Risk Register  
Summary Page  
Updated 25/1/19**

**APPENDIX A**

**Key**

<b>Current Score:</b>	VH = Very High	H = High	M = Medium	L = Low
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**Risk Matrix**

<b>LIKELIHOOD</b>	6			5, 12	
	5			3	
	4			4, 8	1, 6
	3			2	7
	2	11		9	10
	1				
		2	4	6	8
	<b>IMPACT</b>				

**Summary of Corporate Risks**

- 1     **Budgeting & financial mgt (inc forecasting demand & investment and commercial strategy)**
- 2     **Corporate Governance**
- 3     **Workforce**
- 4     **Local Plan (including five year land supply)**
- 5     **Delivering SEN Role**
- 6     **Safeguarding Children and Young People**
- 7     **Safeguarding Adults**
- 8     **Information and Data Management**
- 9     **21<sup>st</sup> Century Council programme**
- 10    **Health and Safety**
- 11    **BREXIT**
- 12    **Ofsted**

### **Key to Abbreviations**

JMS	Councillor Julian Mc Ghee Sumner
PJ	Councillor Pauline Jorgensen
PB	Councillor Parry Baath
SM	Councillor Stuart Munro
PHS	Councillor Pauline Helliard-Symons
JH	Councillor John Halsall
AP	Councillor Anthony Pollock
SW	Councillor Simon Weeks
PM	Councillor Philip Mirfin
HT	Heather Thwaites, Interim Chief Executive
GE	Graham Ebers, Director of Corporate Resources & Deputy Chief Executive
SH	Sarah Hollamby, Director of Customer & Localities
CC	Carol Cammiss, Director of Children's Services
AM	Angela Morris, Director of Adult Social Services
AC	Audit Committee
O&S	Overview & Scrutiny Management Committee

Ref	Risk	Existing controls	Further Actions to Mitigate Risk	Lead	Risk Rating
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	Cause	Consequence/ Impact		Officer	Member	Impact	Likelihood	Current Score	Appetite/ Target
1	<p><b><u>Budgeting and financial Management (inc forecasting demand &amp; investment and commercial strategy).</u></b></p> <p><i>Budgeting</i> - Effectively and efficiently achieving outcomes for the community as per the Council's Plans and Priorities.</p> <p>Risks: a budget that is:-</p> <ol style="list-style-type: none"> <li>Value for money</li> <li>Achieves priorities</li> <li>Meets statutory duties</li> <li>Sustainable in the long term</li> <li>Owned and managed by those responsible and accountable</li> <li>Controlled and monitored to targets set</li> </ol> <p><i>Demand</i> - Effectively preventing and managing demand-led services in areas such as Adult Social Care and Children's Social Care and special needs.</p> <p>Risks:-</p> <ol style="list-style-type: none"> <li>Forecasting and profiling the demand for the long term.</li> <li>Managing increasing public expectations to be realistic to the resources available</li> <li>Prevention strategies based on analyses of nature of demand</li> <li>Reviewing existing services and/or placements to reduce demand and enable independent living</li> </ol> <p><i>Investment and Commercial Strategy</i></p> <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</p>	<ul style="list-style-type: none"> <li>Medium term financial (MFTP) planning processes over three years.</li> <li>Budget management and monitoring controls as set out in financial regulations</li> <li>Internal Audit programme covering major financial systems</li> <li>21<sup>st</sup> Century Council programme</li> <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</li> </ul>	<ul style="list-style-type: none"> <li>Performance management framework implemented and embedded covering Borough Plan, Executive Priorities, Services Plans, individual staff appraisals</li> <li>Improvement Plan for ASC to incorporate risks including increasing demand.</li> <li>Improvement Plan for Children's Services to incorporate risks including increasing demand.</li> <li>Ongoing response to internal/external audits and sources of external assurance including implementation of recommendations.</li> <li>Establishment of Capital Review Group (CRG) and Investment Group with appropriate senior representation.</li> <li>Establishment of healthy reserve balances in line with good practice.</li> </ul> <p><b>Audit Committee to monitor progress</b></p>	HT	JMS	8	4	H	L
				AM	PB				
				CC	PHS				
				GE	AP				
				GE	AP				
				GE	AP				

	<p>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> <p>Risks:-</p> <ul style="list-style-type: none"> <li>• Insufficient school places for children with additional needs</li> <li>• Financial shortfall</li> <li>• Negative PR</li> <li>• Loss of rental income</li> <li>• Scheme slippage / downsizing</li> </ul> <p><b>This is a permanent, long-term risk to the Council.</b></p>	<p>requirement, incorporating Strategic Development Locations (SDL) in the medium term financial plan.</p> <ul style="list-style-type: none"> <li>• Resource planning for Strategic Development Locations (SDL) infrastructure needs.</li> <li>• £100m commercial investment approved.</li> </ul>							
2	<p><b>Corporate Governance</b> (inc Political Governance)</p> <p>Governing effectively to ensure achievement of the Council's purpose and priorities within the resources available and achieving value for money.</p> <p>Risks:-</p> <ol style="list-style-type: none"> <li>Assurance framework for carrying out different types of assurance activity that is understood and discharged effectively</li> <li>Leadership culture and tone models good governance (i.e. Nolan principles of standards in public life)</li> <li>Effective risk management</li> <li>Effective decision making tools that inform value for money proportionate to the risk e.g. evidenced in business cases</li> <li>Effective arrangements for the safe delivery of services and programmes for the delivery of projects.</li> </ol> <p>Effective political governance that sets priorities to deliver purpose, allocate resources, and holds to account through development of policies and strategies</p> <p>Risks:-</p> <ol style="list-style-type: none"> <li>Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery</li> <li>Quality decisions that are based on balancing evidence, public perceptions and political considerations</li> </ol>	<ul style="list-style-type: none"> <li>• Council and Borough Plan processes.</li> <li>• Code of Local Corporate Governance</li> <li>• Constitution (e.g. Member/Officer protocol, delegations, Code of Conducts etc)</li> </ul>	<ul style="list-style-type: none"> <li>• Internal Audits of Corporate Governance, Performance Management and Risk Management and implementation of recommendations.</li> <li>• LGA Peer Review action plan completion from 2017</li> <li>• Training for staff (e.g. Code of Conduct e learning by 30/11/18)</li> </ul> <p><b>Audit Committee to monitor progress</b></p>	HT	JMS	6	3	M	L

	<p>c. Effective monitoring of priorities, risks and business cases</p> <p>d. Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery</p> <p>e. Quality decisions that are based on balancing evidence, public perceptions and political considerations</p> <p>f. Effective monitoring of priorities, risks and business cases</p> <p>g. Effective Administration and effective political opposition supported to achieve outcomes for the community</p> <p>h. Members partake in development and training to effectively discharge their responsibilities</p> <p>i. Clarity of officer/member boundaries and relationships to avoid politicisation of officers.</p> <p><b>This is a permanent, long-term risk to the Council.</b></p>									
3	<p><b><u>Workforce (inc Capacity)</u></b></p> <p>A workforce that is stable, motivated and attracted to work for the Council with an organisational workload that is aligned to capacity available. Resources are allocated proportionate to priority and risk.</p> <p>Risks:-</p> <p>a. Reward and recognition policies</p> <p>b. Recruitment policies</p> <p>c. Value for money</p> <p>d. Sustainable</p> <p>e. Career development opportunities</p> <p>f. Clarity of roles</p> <p>g. Empowerment – staff have appraisal and development that gives clarity to objectives, nurtures and develops, in addition to holding to account.</p> <p>h. Clarity of offer</p> <p><b>This is a permanent, long term risk to the Council.</b></p>	<ul style="list-style-type: none"> <li>• People strategy</li> <li>• Management training</li> </ul>	<ul style="list-style-type: none"> <li>• Updated People strategy including HR continuous improvement plan.</li> </ul> <p><b>Overview &amp; Scrutiny to monitor (through oversight of Performance reports)</b></p>	GE	AP	6	5	H	L	
4	<p><b><u>Local Plan (including five year land supply)</u></b></p> <p>Reputational, financial and legal risks associated with the process of producing the latest Local Plan.</p>	<ul style="list-style-type: none"> <li>• Project plan in place</li> <li>• Resources allocated to deliver project plan.</li> </ul>	To be updated by Louise S	SH	SM	6	4	H	L	

	<b>This is a temporary, shorter-term risk to the Council.</b>									
5	<p><b><u>Delivering SEN Role</u></b></p> <p>Role of the Council in SEN in an environment of academies and national formulas for education budgets, and increasing special needs.</p> <p>Risks:-</p> <ol style="list-style-type: none"> <li>Relationship with education partners and schools</li> <li>Future services and delivery models that are fit for purpose</li> <li>School places meeting the growth in population</li> <li>Managing special needs demand and public expectations of Council resources.</li> </ol> <p><b>This is a temporary, shorter-term risk to the Council.</b></p>		<p>A draft SEND strategy will be ready for consultation from 31 January 2019 with the aim of agreeing final strategy 31 March 2019 or earlier. Will include plans to reduce High Needs Block overspend.</p> <p><b>Children's Services Overview &amp; Scrutiny to monitor</b></p>	CC	PHS	6	6	VH	L	
6	<p><b><u>Safeguarding children and young people</u></b></p> <p>Risk of serious or significant harm to a vulnerable child or young person with whom the council is working.</p> <p>WBC has a duty to care for the needs of, and to provide safeguarding services for the most vulnerable children and young people in the Borough.</p> <p>Risks:-</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 future children, impact on budget.</li> <li>Impact of being judged inadequate by Ofsted could lead to statutory/government intervention.</li> </ul> <p><b>This is a permanent, long-term risk to the Council.</b></p>	<ul style="list-style-type: none"> <li>Safeguarding Board</li> <li>Children's Overview &amp; Scrutiny Committee</li> <li>Policies and Procedures in place</li> <li>Staff appraisal. Supervision, training</li> <li>Practice Framework implementation</li> <li>Quality Assurance System and framework</li> <li>Recruitment and retention strategy embedded</li> </ul>	<p><b>Children's Services Overview &amp; Scrutiny to monitor -</b></p>	CC	PHS	8	3	H	L	
7	<b><u>Safeguarding adults</u></b>	<ul style="list-style-type: none"> <li>Policies and Procedures (multi-agency) in place</li> </ul>	<ul style="list-style-type: none"> <li>Appointment of a new Strategic Safeguarding Lead –start in January 2019.</li> </ul>	AM	PB	8	3	H	L	

	<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>Risks:-</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> <p><b>This is a permanent, long-term risk to the Council.</b></p>	<ul style="list-style-type: none"> <li>• Referral system and assessment processes</li> <li>• Management and supervision of staff</li> <li>• Staff Training and awareness</li> <li>• Berkshire West Safeguarding Board operating effectively</li> <li>• Optalis contract as emergency provider in case of external provider failure</li> <li>• Care Governance Quality Assurance system for providers</li> <li>• Market Failure Protocol in place</li> </ul>	<ul style="list-style-type: none"> <li>• Development of strategic safeguarding plan Jan 2019</li> <li>• Embed a new Quality Assurance Framework which includes QA of adult safeguarding practice. March 2019</li> <li>• Implement a Scheme of delegation for Optalis social care staff Dec 2018</li> </ul>							
8	<p><b><u>Information and Data Management</u></b></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 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>Risks:-</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>	<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</li> </ul>	Internal compliance review of information and data management arrangements to CLT before end of March 2019 with implementation of associated recommendations.	GE	AP	6	4	M	L	

	<p><b>This is a permanent, long-term risk to the Council.</b></p>	<p>handling and basic information security practice</p> <ul style="list-style-type: none"> <li>Secure e-mail solution</li> <li>Document marking scheme</li> <li>GDPR implemented for 25/5/18 to address new obligations</li> </ul>							
9	<p><b><u>21CC Programme</u></b></p> <p>Risk that the council, delivering and embedding 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>Risks that:-</p> <ol style="list-style-type: none"> <li>the council does not deliver its vision and priorities because of service failure.</li> <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> </ol> <p><b>This is a temporary, shorter-term risk to the Council.</b></p>	<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 through Special Finance 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> <li>Monthly highlight report on Joint Board progress</li> <li>Programme Board Risk Register and risk management</li> <li>Departmental 21<sup>st</sup> Century Council Risk Registers</li> </ul>	<p><b>Lessons Learned from Phase 1 incorporated into the plan and approach for Phase 2.</b></p> <p><b>Governance arrangements examined by Audit Committee.</b></p> <p><b>Overall programme considered by Overview &amp; Scrutiny management committee.</b></p> <p><b>Regular update reports considered and approved by Executive – next due on 21/2/19 which will provide detail of end of Phases 1 and 2, with Phase 3 being incorporated into Service and Financial Planning.</b></p>	HT	AP	6	2	M	L



10	<p><b>Health and Safety</b></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> <p>Risks:-</p> <ol 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> </ol> <p><b>This is a permanent, long-term risk to the Council.</b></p>	<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</li> </ul>	<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&amp;S duties.</p> <p>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.</p> <p>Latest statutory Health &amp; Safety report for 2017/18 refers to current plans.</p> <p>Internal Audit of Health &amp; Safety reported April 2018 giving a category 2 “good” level of assurance.</p>	GE	AP	8	2	M	L

		<p>Safety cases in order to identify the key risk area</p> <ul style="list-style-type: none"> <li>Review across the Council of the arrangements in place to protect staff against violence at work</li> </ul>								
11	<p><b>BREXIT</b></p> <p>As the UK prepares to implement the result of the 2016 Referendum there is a risk that the Council fails to plan for the implications and impacts of BREXIT.</p> <p><b>This is a temporary, shorter term risk to the Council.</b></p>	<ul style="list-style-type: none"> <li>Self-assessment of preparedness undertaken</li> <li>Corporate Working Group established to develop more detailed responses.</li> </ul>	<ul style="list-style-type: none"> <li>Further guidance from Central Government</li> </ul> <p><b>Overview &amp; Scrutiny to monitor</b></p>	GE	AP	2	2	L	L	
12	<p><b>Ofsted</b></p> <p>Children's Services will be inspected by our regulators later in 2019. There is likely to be a SEND inspection and an ILACS inspection. The directorate will not be given notice of when the inspections will occur.</p> <p>Risks:-</p> <ol style="list-style-type: none"> <li>The directorate is vulnerable to a negative inspection in the SEND inspection. The predicted outcome for the ILACS inspections is to receive a grading of requires improvement.</li> </ol>	<ul style="list-style-type: none"> <li>Performance data</li> <li>Self evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Work has been commissioned to ameliorate the position.</li> <li>The continuous improvement board is being set up from February 2019 and will address actions arising.</li> </ul>	CC	PHS	6	6	VH		