

**Corporate Risk Register
Summary Page
Updated 5/7/19**

APPENDIX A

Key

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

25

LIKELIHOOD

6			5, 11	
5			3	
4			4, 8	1, 6
3			2	7
2	10			9
1				
	2	4	6	8

IMPACT

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 SEND Role
- 6 Safeguarding Children and Young People
- 7 Safeguarding Adults
- 8 Information and Data Management
- 9 Health and Safety
- 10 BREXIT
- 11 Ofsted

Key to Abbreviations

JH	Councillor John Halsall
PJ	Councillor Pauline Jorgensen
PB	Councillor Parry Batth
SM	Councillor Stuart Munro
UC	Councillor Ullakarin Clark
JK	Councillor John Kaiser
CM	Councillor Charles Margetts
WS	Councillor Wayne Smith
CHT	Councillor Charlotte Haitham Taylor
SP	Susan Parsonage, Chief Executive
GE	Graham Ebers, Director of Corporate Resources & Deputy Chief Executive
SH	Sarah Hollamby, Director of Locality & Customer Service
CC	Carol Cammiss, Director of Children's Services
MP	Matt Pope, 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			
	Cause	Consequence/ Impact			Officer	Member	Impact	Likelihood	Current Score	Appetite/ Target
1	<p><u>Budgeting and financial Management (inc forecasting demand & investment and commercial strategy).</u></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"> Value for money Achieves priorities Meets statutory duties Sustainable in the long term Owned and managed by those responsible and accountable Controlled and monitored to targets set <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"> Forecasting and profiling the demand for the long term. Managing increasing public expectations to be realistic to the resources available Prevention strategies based on analyses of nature of demand Reviewing existing services and/or placements to reduce demand and enable independent living <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</p>		<ul style="list-style-type: none"> Medium term financial (MFTP) planning processes over three years. Budget management and monitoring controls as set out in financial regulations Internal Audit programme covering major financial systems C21st Century Council programme (ended spring 2019) Reduce capital programme in line with delay in receipts Increase borrowing Closer monitoring of on-site schemes Quarterly refresh of capital programme Refreshed corporate asset management plan Annual capital bidding system and capital programme in place Programme Board for Town Centre Regeneration Project Forward Funding Asset Review Programme 	<ul style="list-style-type: none"> Performance management framework implemented and embedded covering Council Plan, Executive Priorities, Services Plans, individual staff appraisals Continuous Improvement Programme (CIP) for ASC to incorporate risks including increasing demand. Continuous Improvement Programme (CIP) for Children's Services to incorporate risks including increasing demand. Ongoing response to internal/external audits and sources of external assurance including implementation of recommendations. Establishment of Capital Review Group (CRG) and Investment Group with appropriate senior representation. Establishment of healthy reserve balances in line with good practice. 	SP	JH	8	4	H	L
					MP	CM				
					CC	UC				
					GE	JK				
					GE	JK				
					GE	JK				

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	<p>resources and a complex funding source. The Council needs to ensure it guards against any unmet critical needs and prioritise its aspirations over the long term.</p> <p>Risk that the Council fails to deliver key investment priorities through insufficient resources or inadequate planning.</p> <p>Risks:-</p> <ul style="list-style-type: none"> • Insufficient school places for children with additional needs • Financial shortfall • Negative PR • Loss of rental income • Scheme slippage / downsizing <p>This is a permanent, long-term risk to the Council.</p>	<ul style="list-style-type: none"> • Meeting the Council's strategic capital requirement, incorporating Strategic Development Locations (SDL) in the medium term financial plan. • Resource planning for Strategic Development Locations (SDL) infrastructure needs. • £100m commercial investment approved. 	<p>Audit Committee to monitor progress</p>							
2	<p>Corporate Governance (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"> Assurance framework for carrying out different types of assurance activity that is understood and discharged effectively Leadership culture and tone models good governance (i.e. Nolan principles of standards in public life) Effective risk management Effective decision making tools that inform value for money proportionate to the risk e.g. evidenced in business cases Effective arrangements for the safe delivery of services and programmes for the delivery of projects. 	<ul style="list-style-type: none"> • Council and Borough Plan processes. • Code of Local Corporate Governance • Constitution (e.g. Member/Officer protocol, delegations, Code of Conducts etc) • Staff training (Code of Conduct e learning Nov 18) 	<ul style="list-style-type: none"> • Internal Audits of Corporate Governance, Performance Management and Risk Management and implementation of recommendations. • LGA Peer Review action plan completion from 2017 <p>Audit Committee to monitor progress</p>	SP	JH	6	3	M	L	

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	<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"> Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery Quality decisions that are based on balancing evidence, public perceptions and political considerations Effective monitoring of priorities, risks and business cases Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery Quality decisions that are based on balancing evidence, public perceptions and political considerations Effective monitoring of priorities, risks and business cases Effective Administration and effective political opposition supported to achieve outcomes for the community Members partake in development and training to effectively discharge their responsibilities Clarity of officer/member boundaries and relationships to avoid politicisation of officers. <p>This is a permanent, long-term risk to the Council.</p>										
3	<p><u>Workforce (inc Capacity)</u></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> <ol style="list-style-type: none"> Reward and recognition policies Recruitment policies Value for money 		<ul style="list-style-type: none"> People strategy Corporate People Dashboard Management training 	<ul style="list-style-type: none"> Updated People strategy including HR continuous improvement plan. <p>Overview & Scrutiny to monitor (through oversight of Performance reports)</p>	GE	JK	6	5	H	L	

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	d. Sustainable e. Career development opportunities f. Clarity of roles g. Empowerment – staff have appraisal and development that gives clarity to objectives, nurtures and develops, in addition to holding to account. h. Clarity of offer i. (Over)Reliance on key members of staff j. Capacity on the front-line This is a permanent, long term risk to the Council.										
4	<u>Local Plan (including five year land supply)</u> Reputational, financial and legal risks associated with the process of producing the latest Local Plan. This is a temporary, shorter-term risk to the Council.		<ul style="list-style-type: none"> Project plan in place Resources allocated to deliver project plan. 	Ongoing monitoring. Public consultation on housing numbers – June/July 2019	SH	WS	6	4	H	L	
5	<u>Delivering SEND Role</u> Role of the Council in SEND in an environment of academies and national formulas for education budgets, and increasing special needs. Risks:- <ol style="list-style-type: none"> Relationship with education partners and schools Future services and delivery models that are fit for purpose School places meeting the growth in population Managing special needs demand and public expectations of Council resources Financial. This is a temporary, shorter-term risk to the Council.			SEND strategy consultation from 31 January 2019 with the aim of agreeing final strategy in autumn or earlier. Will include plans to reduce High Needs Block overspend. Children’s Services Overview & Scrutiny to monitor	CC	UC	6	6	VH	L	

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6	<p><u>Safeguarding children and young people</u></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"> • Avoidable harm to a vulnerable child • Damage to reputation • Litigation • Low staff morale – loss of staff, unstable workforce – poor outcome for future children, impact on budget. • Impact of being judged inadequate by Ofsted could lead to statutory/government intervention. • Not managing the transition to Adult Services <p>This is a permanent, long-term risk to the Council.</p>	<ul style="list-style-type: none"> • Safeguarding Board • Children’s Overview & Scrutiny Committee • Policies and Procedures in place • Staff appraisal. Supervision, training • Practice Framework implementation • Quality Assurance System and framework • Recruitment and retention strategy embedded 	<p>Children’s Services Overview & Scrutiny to monitor -</p>	CC	UC	8	3	H	L		
7	<p><u>Safeguarding adults</u></p> <p>Risk of avoidable serious harm or death of a vulnerable adult for whom the council has a responsibility.</p> <p>WBC has a statutory duty to meet the care needs of, and safeguard the most vulnerable adults in the Borough. It is vital to ensure continued focus on Safeguarding systems and procedures.</p>	<ul style="list-style-type: none"> • Policies and Procedures (multi-agency) in place • Referral system and assessment processes • Management and supervision of staff 	<ul style="list-style-type: none"> • Development of strategic plan for Adult Social Care • Implement decision of 27 June 2019 Executive decision re adult social care pathway • Reviewing market failure protocol 	MP	CM	8	3	H	L		

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	<p>Risks:-</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 • Not managing the transition from Children's Services <p>This is a permanent, long-term risk to the Council.</p>		<ul style="list-style-type: none"> • 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 • Appointment of a new Strategic Safeguarding Lead. • Appointment of permanent DASS. 							
8	<p>Information and Data Management</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>		<ul style="list-style-type: none"> • Information Security Management System - governance for this area including SIRO & IGG roles • Encrypted IT equipment 	Internal compliance review of information and data management arrangements .	GE	JK	6	4	M	L

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	<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"> • Imposition of a substantial fine • Reputational damage/ bad media coverage • Breach of contract and payment of damages • Loss of future business • Increased number of complaints • Loss of trust from partner organisations/contractors. <p>This is a permanent, long-term risk to the Council.</p>		<ul style="list-style-type: none"> • Secure storage/ lockers at council offices • Robust policies in this area • Mandatory refresher programme recently undertaken • Archiving of physical records • Training for staff on document / information handling and basic information security practice • Secure e-mail solution • Document marking scheme • GDPR implemented for 25/5/18 to address new obligations • Training for new members • Additional resource to deal with Subject Access Requests and Fol requests 								
9	<p>Health and Safety</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>		<ul style="list-style-type: none"> • Risk profile - Awareness of high risk areas • Ongoing compliance with statute policies and procedures 	Health and Safety training to be included in the Management Induction Programme for all new managers.	GE	JK	8	2	M	L	

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	<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"> 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 <p>This is a permanent, long-term risk to the Council.</p>		<ul style="list-style-type: none"> 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 	<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 2018/19 refers to current plans – see 27/6/19 Executive for details.</p> <p>Internal Audit of Health & Safety reported April 2018 giving a category 2 “good” level of assurance.</p>							

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			<ul style="list-style-type: none"> Review across the Council of the arrangements in place to protect staff against violence at work 							
10	<p>BREXIT</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>There is also the risk that Government focus on Brexit, delays or postpones decisions on other areas e.g. Children's Services (SEND agenda), Adult Social Care, and local government financing.</p> <p>This is a temporary, shorter term risk to the Council.</p>		<ul style="list-style-type: none"> Self-assessment of preparedness undertaken Corporate Working Group established to develop more detailed responses. 	<ul style="list-style-type: none"> Further guidance from Central Government <p>Overview & Scrutiny to monitor</p>	GE	JK	2	2	L	L
11	<p>Ofsted</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"> 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. 		<ul style="list-style-type: none"> Performance data Self evaluation 	<ul style="list-style-type: none"> Work has been commissioned to ameliorate the position. The continuous improvement board set up from February 2019 to address actions arising. 	CC	UC	6	6	VH	

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