

**Corporate Risk Register
Summary Page
Updated 17/9/19**

APPENDIX A

Key

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

35

LIKELIHOOD

6			5, 11	
5			3, 12	7
4			4, 8, 10	1, 6
3			2	
2				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 Reforms
- 6 Safeguarding Children and Young People
- 7 Safeguarding Adults
- 8 Information and Data Management
- 9 Health and Safety
- 10 BREXIT
- 11 Inspections Regulatory
- 12 Adult Social Care Provider Market

Key to Abbreviations

JH	Councillor John Halsall
PJ	Councillor Pauline Jorgensen
PB	Councillor Parry Baath
SM	Councillor Stuart Munro
UC	Councillor Ullakarin Clarke
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 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 Meeting the Council's strategic capital requirement, incorporating Strategic 	<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. Launch of "Commercial Council" programme (from Sept 2019) Overview & Scrutiny to consider budget (from Sept 2019) <p>Audit Committee to monitor progress</p>	SP	JH	8	4	H	L
					MP	CM				
					CC	UC				
					GE	JK				
					SP/ 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 within the Borough • Financial shortfall • Negative PR • Loss of rental income • Scheme slippage / downsizing <p>This is a permanent, long-term risk to the Council.</p>		<p>Development Locations (SDL) in the medium term financial plan.</p> <ul style="list-style-type: none"> • Resource planning for Strategic Development Locations (SDL) infrastructure needs. • £100m commercial investment approved. • Establishment of Capital Review Group (CRG) and Investment Group with appropriate senior representation. • Establishment of healthy reserve balances in line with good practice. 								
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 		<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 and consideration of new Peer Review. <p>Audit Committee to monitor progress</p>	SP	JH	6	3	M	L	

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	<p>e. Effective arrangements for the safe delivery of services and programmes for the delivery of projects. Effective political governance that sets priorities to deliver purpose, allocate resources, and holds to account through development of policies and strategies Risks:-</p> <p>a. Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery b. Quality decisions that are based on balancing evidence, public perceptions and political considerations c. Effective monitoring of priorities, risks and business cases d. Effective Administration and effective political opposition supported to achieve outcomes for the community e. Members partake in development and training to effectively discharge their responsibilities f. Clarity of officer/member boundaries and relationships to avoid politicisation of officers.</p> <p>This is a permanent, long-term risk to the Council.</p>									
3	<p><u>Workforce (inc Capacity)</u> 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. Risks:-</p> <p>a. Reward and recognition policies b. Recruitment policies c. Value for money d. Sustainable e. Career development opportunities f. Clarity of roles</p>		<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. • Employee Engagement Survey in autumn 2019 <p>Overview & Scrutiny to monitor (through oversight of Performance reports)</p>	GE	JK	6	5	H	L

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	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. Public consultation on housing numbers held in summer 2109 	Ongoing monitoring. Government lobbying on housing numbers.	SH	WS	6	4	H	L	
5	<u>Delivering SEND Reforms</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 permanent, long 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"> • Berkshire West Safeguarding Partnership • 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> <p>Risks:-</p> <ul style="list-style-type: none"> • Damage to reputation and public confidence in services 		<p>Policies and Procedures (multi-agency) in place</p> <ul style="list-style-type: none"> • Referral system and assessment processes • Management and supervision of staff • Staff Training and awareness • Berkshire West Safeguarding Board operating effectively 	<ul style="list-style-type: none"> • Set up new ASH, Adult Safeguarding Hub. • Implement actions from the safeguarding risk assessment. • Implement safeguarding actions from Peer Review. • ASH will lead to process change • PSW to train on evidence management oversight • Increased capacity by appointing Locums 	MP	CM	8	5	VH	L

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42	<ul style="list-style-type: none"> 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"> 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 Principal Social Worker to provide additional tier of scrutiny and oversight to lead to improved quality of safeguarding policy and practice. Risk assessment for safeguarding completed. LGA Peer Review covered safeguarding. 								
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> <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 		<ul style="list-style-type: none"> Information Security Management System - governance for this area including SIRO & IGG roles Encrypted IT equipment Secure storage/ lockers at council offices Robust policies in this area Mandatory refresher programme recently undertaken 	<p>Internal compliance review of information and data management arrangements.</p> <p>Audit Committee monitoring of data protection performance - see separate report to 25/9 Audit Committee.</p>	GE	JK	6	4	M	L	

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	<ul style="list-style-type: none"> 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"> 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> <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 		<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 	<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>	GE	JK	8	2	M	L	

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	d. Publicity Order (Corporate Manslaughter only) e. Remedial Order (Corporate Manslaughter and HSWA) f. Publicity Order (Corporate Manslaughter only) g. Removal of key staff h. Reputational damage i. Service delivery loss due to depleted resources j. Damage to individuals wellbeing k. An avoidable death or injury This is a permanent, long-term risk to the Council.		from Health and Safety staff <ul style="list-style-type: none"> 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 Health and Safety training included in the Management Induction Programme for all new managers.	Internal Audit of Health & Safety reported April 2018 giving a category 2 "good" level of assurance. Building maintenance of schools – discharging Council responsibilities.							

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45	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>Busine</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. • Existing business continuity controls 	<ul style="list-style-type: none"> • Further ongoing guidance from Central Government • Council-wide ream relaunched from Sept 2019 under BD. • Review and updating of business continuity controls. <p>Overview & Scrutiny to monitor</p>	SP	JH	6	4	H	L
	11	<p>Regulatory Inspections</p> <p>Children’s Services are inspected regularly by the regulators. ILACs is an inspection ‘system’ that includes: Annual Conversations between Ofsted & the Local Authority; Inspection at least every 3 years and possible Focussed Visits on identified themes. This means that Children’s Services is under regular scrutiny from Ofsted that is carried out in a cyclical process.</p> <p>In addition the Local Area could be subject to a Joint Targeted Area Inspection focussing on a set theme.</p> <p>The Local Area is also inspected under the SEND inspection Framework.</p> <p>The directorate are not given notice of when the inspections will occur as they are unannounced.</p> <p>The SEND inspection took place in March 2019 and the Local Area had to produce a Written Statement of Action (WSOA) in response to 6 major areas identified to be requiring improvement. The WSoA was submitted to Ofsted & CQC in August 2019. The Local Area will be re-inspected under the SEND Inspection framework 18 months to 2 years</p>	<ul style="list-style-type: none"> • Performance data • Self-evaluation • Intelligence captured in relation to all forms of external scrutiny that help to drive improvement e.g. Peer Reviews & Audits 	<ul style="list-style-type: none"> • The continuous improvement board set up from February 2019 to address actions arising. • Wokingham Local Area SEND Written Statement of Action • Wokingham SEND Improvement Board • Children with Disabilities Improvement Board • Service Plans for Children’s Services 	CC	UC	6	6	H	L

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46 12	<p>following the submission of the WSoA - so between Feb 2021 and August 2021.</p> <p>The ILACS inspection took place in June 2019 and the Local Authority was found to be Requiring Improvement to be Good.</p> <p>Risks:-</p> <ol style="list-style-type: none"> The embedding of improvements in services to be Good could be affected if resources and action plans are redirected due to a Focused Visit or other inspection activity Impact of being judged inadequate by Ofsted could lead to statutory/government intervention. Lack of evidence of improvement in services could lead to reputational damage 										
	<p>Adult Social Care Provider Market</p> <p>WBC has a duty to understand its local market of care providers and stimulate a diverse range of care and support services to ensure that people and their carers have choice over how their needs are met and that they are able to achieve the things that are important to them.</p> <p>Sustainability of the adult social care market is of major importance in order to ensure the safety, health and wellbeing of vulnerable adults with a range of eligible social care support needs. To support the financial sustainability of our local market, ASC has invested in local provision through the annual uplift process. There is, however, an ongoing pressure from care providers for an annual financial uplift, reflecting inflation, cost of living and the local market. Circa 4/8% pa.</p> <p>Adults Social Care has seen a significant number of providers (Home Care) return care packages as they are no longer viable, adding an additional cost pressure to the service.</p>		<ul style="list-style-type: none"> Annual Uplift Process Provider engagement Quality Assurance Framework Development of an MPS and Adult Social Care Strategy 	<ul style="list-style-type: none"> Develop provider market relationship through rigorous contract management (CMS) Review of the current commissioning pathway Establish a true 'Cost of Care' with the local provider market Establish a market sustainability strategy (inc uplift policy) 	MP	CM	6	5	H	L	

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