

**Corporate Risk Register  
Summary Page  
Updated 17/7/2020**

**APPENDIX A**

**Key**

<b>Current Score (pre-mitigation):</b>	VH = Very High	H = High	M = Medium	L = Low
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**Risk Matrix**

31

LIKELIHOOD	6			5, 11	1
	5			3, 13	4, 12
	4			8	6, 7, 14, 17
	3		15	2	
	2			9, 10	18
	1				
		2	4	6	8
		<u>IMPACT</u>			

Summary of Corporate Risks

- 1 Budgeting & financial mgt (inc forecasting demand & investment and commercial strategy)
- 2 Corporate Governance
- 3 Workforce
- 4 Local Plan Delays & Appeals (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
- 13 Climate Emergency
- 14 High Needs Block
- 15 Telephony
- 16 IT Infrastructure
- 17 Equalities Duty
- 18 Pandemics

### **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
GM	Councillor Gregor Murray
SP	Susan Parsonage, Chief Executive
GE	Graham Ebers, Director of Corporate Resources & Deputy Chief Executive
SH	Keeley Clements, Director of Communities, Insight & Change
CC	Carol Cammiss, Director of Children's Services
MP	Matt Pope, Director of Adult Social Services
AM	Andrew Moulton, Assistant Director Governance & Risk Facilitator
AC	Audit Committee
O&S	Overview & Scrutiny Management Committee

### **Key Priorities (from Community Vision and Corporate Delivery Plan)**

1. Safe, strong communities
2. Enriching lives
3. Right homes, right places
4. Keeping the Borough moving
5. A clean and green Borough
6. Changing the way we work
7. Be the best we can

Ref	Risk		Impact of COVID	Existing controls	Further Actions to Mitigate Risk	Lead			Risk Rating		Current Score
	Cause	Consequence/ Impact on Key Priorities				Timescale	Officer	Member	Impact	Likelihood	
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 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>Significant impact on additional costs for the vulnerable, loss of income e.g. car parking, and inability to enact in year savings targets. Also potential significant impact on capital funding.</p> <p>Measures in place includes a weekly monitoring report, ensuring we receive Government funding available and freezing expenditure where possible, particularly with regard to the capital programme. Despite this, the financial risks have inevitably increased.</p> <p>The report to Executive on 30<sup>th</sup> July sets out the latest position and forecast.</p>	<ul style="list-style-type: none"> <li>Medium term financial (MTPF) planning processes over three years.</li> <li>Budget management and monitoring controls as set out in financial regulations</li> <li>Annual Internal Audit programme covering major financial systems</li> <li>External Audit of Council's Financial Statements</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 requirement, incorporating</li> </ul>	<ul style="list-style-type: none"> <li>In year monitoring of financial position and associated risks by Executive – see latest report of 30 July.</li> <li>Overview &amp; Scrutiny (through Community &amp; Corporate Sub Committee) review of 2021/22 budget proposals commencing in Sept 2020.</li> <li>Overview &amp; Scrutiny (through Community &amp; Corporate Sub Committee) review of Property Investment Portfolio.</li> <li>Ongoing response to internal/external audits and sources of external assurance including implementation of recommendations.</li> <li>Lobbying re Local Government Finance Settlement for 2021 and beyond.</li> </ul>	30/7/20	GE	JK	8	6	VH
33						30/9/20	GE	JK			
						30/9/20	GE	JK			
						Ongoing	GE	JK			
						Ongoing	GE	JK			

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	Cause	Consequence/ Impact on Key Priorities				Timescale	Officer	Member	Impact	Likelihood	
34	<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 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 within the Borough</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><b>Key Priorities – 1 to 7</b></p>			<p>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> <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> <li>• Overview &amp; Scrutiny reviewed 2020/21 budget proposals (from Sept 2019)</li> <li>• CIPFA independent assessment on financial resilience – shows Wokingham BC rated in top 20 for financial sustainability.</li> <li>• Commercial Council launched.</li> </ul>							
2	<b>Corporate Governance</b> (inc Political Governance)		Clear governance arrangements for managing and responding to COVID-19	<ul style="list-style-type: none"> <li>• Council and Borough Plan processes.</li> </ul>	i. Updated Local Code of Corporate Governance	30/9/20	SP	JH	6	3	M

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35	<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> <li>Effective monitoring of priorities, risks and business cases</li> </ol>		<p>emergency including communications plan, engagement political group leader, maintenance of Council decision-making through introduction of virtual meetings.</p>	<ul style="list-style-type: none"> <li>Code of Local Corporate Governance</li> <li>Constitution (e.g. Member/Officer protocol, delegations, Code of Conducts etc)</li> <li>Staff training (Code of Conduct e learning Nov 18)</li> </ul>	<ol style="list-style-type: none"> <li>Annual Governance Statement (and improvement action plan) in place.</li> <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 and consideration of new Peer Review.</li> </ol> <p><b>Audit Committee to monitor progress</b></p>	<p>31/7/20</p> <p>31/12/20</p> <p>TBC</p>	<p>SP</p> <p>AM</p> <p>SP</p>	<p>JH</p> <p>JK</p> <p>JH</p>			

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36	<p>d. Effective Administration and effective political opposition supported to achieve outcomes for the community</p> <p>e. Members partake in development and training to effectively discharge their responsibilities</p> <p>f. 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> <p><b>Key Priority – 7</b></p>										
	<p><b><u>Workforce (inc Capacity)</u></b> 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</p>		<p>The workforce risks associated with COVID-19 are being managed and mitigated through the governance arrangements in place as described above (risk 2) and health &amp; safety arrangements (risk 9).</p>	<ul style="list-style-type: none"> <li>• People strategy</li> <li>• Corporate People Dashboard</li> <li>• Management training</li> <li>• Employee Engagement survey action plans</li> </ul>	<ul style="list-style-type: none"> <li>• Updated People strategy including HR continuous improvement plan.</li> </ul> <p><b>Personnel Board and Overview &amp; Scrutiny to monitor (through oversight of Performance reports)</b></p>	2020/21	KC	JK	6	5	H

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	<p>objectives, nurtures and develops, in addition to holding to account.</p> <p>h. Clarity of offer</p> <p>i. (Over)Reliance on key members of staff</p> <p>j. Capacity on the front-line</p> <p><b>This is a permanent, long term risk to the Council.</b></p> <p><b>Key Priority - 7</b></p>										
437	<p><b><u>Local Plan Delays &amp; Appeals and 5 year housing land supply</u></b></p> <p>Increased number of speculative planning applications and appeals, with associated costs. Significant pressure on finance &amp; staffing resource Attraction/retention of qualified staff to robustly assess planning applications, defend appeals and undertake enforcement.</p>		<p>Difficulty in demonstrating a deliverable five-year housing land supply due to uncertainties in the rate of housebuilding and sales.</p> <p>Potential increased speculation by developers utilising the difficulty in demonstrating a five year housing land supply.</p> <p>Potential delays to preparation of evidence base supporting the preparation of a new local plan.</p>	<ul style="list-style-type: none"> <li>Project plan in place to prepare a new local plan.</li> <li>Resources allocated to deliver project plan for a new local plan.</li> <li>Executive approved consultation on Draft Local Plan on 15 Jan 2020.</li> <li>Regular monitoring of housing developments.</li> </ul>	Adoption of up to date Local Plan and political support.	31/3/21	CT	WS	8	5	VH
5	<p><b><u>Delivering SEND Reforms</u></b></p> <p>Role of the Council in SEND in an environment of academies and national formulas for education budgets, and increasing special needs.</p>		<p>The SEND Improvement Board is continuing to meet, but has temporarily scaled down membership.</p>	<ul style="list-style-type: none"> <li>CWD Team Review (post Ofsted)</li> <li>CIN 1 / 2 Review (post Ofsted)</li> </ul>	SEND strategy consultation from 31 January 2019 with the aim of agreeing final strategy by end of year.	31/12/20	CC	UC	6	6	VH

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38	<p>Risks:-</p> <ul style="list-style-type: none"> <li>a. Relationship with education partners and schools</li> <li>b. Future services and delivery models that are fit for purpose</li> <li>c. School places meeting the growth in population</li> <li>d. Managing special needs demand and public expectations of Council resources</li> <li>e. Financial.</li> </ul> <p><b>This is a permanent, long term risk to the Council.</b></p> <p><b>Key priority - 1</b></p>	<p>All Task &amp; Finish Groups have delivered a business continuity plan in respect of continued activity during the Coronavirus Outbreak.</p>	<ul style="list-style-type: none"> <li>• Move of Transitions team to ASC</li> <li>• Team stability within CWD</li> <li>• Development of Written Statement of Action (WSOA) (Post CQC/Ofsted)</li> <li>• SEND Strategy Published</li> <li>• Launch and Development of the SEND Improvement Board</li> <li>• Key focus on Task &amp; Finish group work towards WSoA</li> <li>• Increased engagement with parents &amp; carers via SEND Voices Wokingham and SENDIASS</li> <li>• Improved relationships with statutory and non-statutory partners.</li> <li>• Introduction of weekly performance tracker</li> <li>• Introduction of annual review tracker to ensure outcome and provision in EHCP's are reviewed in line with SEND CoP.</li> </ul>	<p>Reduce High Needs Block overspend.</p> <p><b>Children's Services Overview &amp; Scrutiny to monitor</b></p>							
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</p>	<ul style="list-style-type: none"> <li>• Reduction in agencies having contact and engagement with vulnerable children</li> <li>• Increase in Domestic Abuse</li> </ul>	<ul style="list-style-type: none"> <li>• BWSCP Child Protection Procedures and Safeguarding Partnership</li> <li>• Staff Training: informed by professional knowledge and skills statement</li> </ul>	<ul style="list-style-type: none"> <li>• Continuous Improvement Programme (CIP) for Children's Services to incorporate risks including increasing demand</li> <li>• Ongoing response to internal/external audits and sources of external</li> </ul>	Ongoing	CC	UC	8	3	H	



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39	<p>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> <li>• Not managing the transition to Adult Services</li> </ul> <p><b>This is a permanent, long-term risk to the Council.</b></p> <p><b>Key priority - 1</b></p>		<ul style="list-style-type: none"> <li>• Increase in mental health and emotional wellbeing issues/challenges</li> <li>• Reduction in direct home visits by children’s social care.</li> <li>• Impact on the quality of assessments and the judgments that people can make.</li> <li>• The ability to monitor and implement plans, as welfare becomes the primary focus</li> <li>• Increase in LAC numbers</li> <li>• Disruption of placements</li> <li>• Not being able to locate or source a placement</li> <li>• Staff Shielding</li> <li>• Staff becoming unwell/infected</li> </ul>	<ul style="list-style-type: none"> <li>• Case Reviews and learning from cases</li> <li>• Policy and Procedures up to date and easily accessible to all staff</li> <li>• Clear Practice Framework that is implemented by all social work staff</li> <li>• Regular and high quality Staff Supervision</li> <li>• Quality Assurance Framework embedded across service</li> <li>• Regular Case Audits</li> <li>• Recruiting and retaining a skilled workforce</li> <li>• Growth of budget based on growth of need</li> <li>• Increase in work force to reflect increase in workloads</li> <li>• Reduction of case loads</li> <li>• Increase in line managers, reduction in span of control</li> <li>• Increase in Practice consultants to support all social care staff</li> <li>• Grip and Grasp of placement spend and budget</li> <li>• OFSTED informed action plan to improve service delivery</li> </ul>	<p>assurance including implementation of recommendations.</p> <ul style="list-style-type: none"> <li>• Staff Supervision training and support</li> <li>• Strengthen partnership working to ensure thresholds are understood</li> </ul> <p><b>Children’s Services Overview &amp; Scrutiny to monitor</b></p> <p>-</p>						

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				<ul style="list-style-type: none"> <li>Children's Services Improvement Programme focussing on agreed priorities and projects within agreed timescales</li> </ul>							
40	7	<p><b><u>Safeguarding adults</u></b></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"> <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> <li>Not managing the transition from Children's Services</li> </ul> <p><b>This is a permanent, long-term risk to the Council.</b></p> <p><b>Key priority – 1</b></p>	ASC has reviewed and updated this risk due to the fundamental impacts of COVID-19	<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>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> <li>Appointment of Principal Social Worker to provide additional tier of scrutiny and oversight to lead to improved quality of safeguarding policy and practice.</li> <li>Risk assessment for safeguarding completed.</li> <li>LGA Peer Review covered safeguarding.</li> </ul>	<ul style="list-style-type: none"> <li>Set up new ASH (Adult Safeguarding Hub).</li> <li>Implement actions from the safeguarding risk assessment.</li> <li>Implement safeguarding actions from Peer Review.</li> <li>ASH will lead to process change</li> <li>PSW to train on evidence management oversight</li> <li>Increased capacity by appointing Locums</li> </ul>		MP	CM	8	4	H



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				<p>protection performance - ref 25/9 Audit Committee .</p> <ul style="list-style-type: none"> <li>Additional resource to deal with Subject Access Requests and Fol requests</li> </ul>							
9	<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> </ol>	<p>Exposure to virus and redeployed staff increases risk. Also, risk re mental health and even domestic abuse from isolation at home.</p> <p>Risk mitigation measures include; PPE, training, wellbeing calls, online support, guidance re physical and psychological protection.</p> <p>As part of the above, there is an overarching corporate health &amp; safety risk assessment.</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> </ul>	<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 2018/19 refers to current plans – see 27/6/19 Executive for details.</p> <p>Internal Audit of Health &amp; Safety reported April 2018 giving a category 2 “good” level of assurance.</p> <p>Building maintenance of schools – discharging Council responsibilities.</p>	Ongoing	KC	JK	6	2	M	

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43	<p>j. Damage to individuals wellbeing</p> <p>k. An avoidable death or injury</p> <p><b>This is a permanent, long-term risk to the Council.</b></p> <p><b>Key priority - 7</b></p>			<ul style="list-style-type: none"> <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> <li>• Health and Safety training included in the Management Induction Programme for all new managers.</li> </ul>							
10	<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>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><b>This is a temporary, shorter term risk to the Council.</b></p>		<p>Ongoing monitoring of the Government's position re the negotiations with EU.</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> <li>• Business Continuity Plans updated</li> <li>• BREXIT risk register established</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Working Group met regularly to early Jan 2020 – now stood down but will be re-introduced later in year if necessary</li> </ul>	Ongoing	SP	JH	6	2	M

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44	11	<p><b>Regulatory Inspections</b></p> <p>Children's Services are inspected regularly by the regulators. ILACs is an inspection 'system' that includes: Annual Conversations between Ofsted &amp; 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. 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. 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 &amp; CQC in August 2019. The Local Area will be re-inspected under the SEND Inspection framework 18 months to 2 years 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"> <li>The embedding of improvements in services to be Good could be affected if resources and action plans are redirected</li> </ol>	<p>The regulatory inspections such as ILACS, Local AREA SEND and focus visits are currently suspended. The annual Ofsted conversation was also suspended. However, Wokingham requested that the annual conversation proceed in June and this has been agreed. Ofsted plan to re-introduce focus visits from September and we Wokingham will receive one in the calendar year. We have revised practice standards to reflect the lockdown and how we approach visits to families.</p> <ul style="list-style-type: none"> <li>The challenge of maintaining safeguarding activity during Covid-19 and the recovery could divert/deflect resources away from improvement activity</li> <li>Learning and development program needing to be re developed and delayed</li> </ul>	<ul style="list-style-type: none"> <li>Performance data</li> <li>Self-evaluation</li> <li>Intelligence captured in relation to all forms of external scrutiny that help to drive improvement e.g. Peer Reviews &amp; Audits</li> </ul>	<ul style="list-style-type: none"> <li>The continuous improvement board set up from February 2019 to address actions arising.</li> <li>Wokingham Local Area SEND Written Statement of Action</li> <li>Wokingham SEND Improvement Board</li> <li>Children with Disabilities Improvement Board</li> <li>Service Plans for Children's Services</li> </ul>	Ongoing	CC	UC	6	6	H

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45	<p>due to a Focused Visit or other inspection activity</p> <p>b. Impact of being judged inadequate by Ofsted could lead to statutory/government intervention.</p> <p>c. Lack of evidence of improvement in services could lead to reputational damage</p> <p>Key priority - 7</p>		<ul style="list-style-type: none"> <li>Performance data ceases to reflect the activity</li> <li>Diversion of people from Annex A activity to undertake other activities</li> <li>Diversion of people from Policy documents undertake other activities</li> <li>Delay in strategies being completed</li> <li>Improvement work delayed and the reframing of the direction of travel due to the journey we have taken due to Covid- 19</li> </ul>								
12	<p><b><u>Adult Social Care Provider Failure</u></b></p> <p>Stability and sustainability of the adult social care market is of major importance in order to ensure the continued safety, health and wellbeing of vulnerable adults with a range of eligible social care support needs.</p> <p>COVID-19 has had a significant impact on the adult social care provider market. The market has become more volatile, with providers facing increased costs (PPE and workforce) and reduced demand leading to</p>		<p>ASC has reviewed and updated this risk due to the fundamental impacts of COVID-19</p>	<ul style="list-style-type: none"> <li>Annual Uplift Process; agreed for 2020/21</li> <li>Quality Assurance Framework</li> <li>An improved funding deal for providers we contract with plus ability to apply for additional temporary funding (sustainability fund)</li> <li>Help with supply of PPE</li> </ul>	<ul style="list-style-type: none"> <li>Establish a rigorous contract management process that builds on provider engagement</li> <li>Develop and implement a rigorous contract management system (CMS)</li> <li>Review of the current commissioning pathway to</li> </ul>	Ongoing	MP	CM	8	5	VH

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46	<p>greater financial pressure. Adult Social Care has seen an increase in the number of providers experiencing financial difficulties. This will only increase with the ongoing pressure of COVID-19 and economic downturn.</p> <p>Under the COVID Procurement Policy Notice, contracting authorities must ensure suppliers at risk are in a position to resume normal contract delivery once the outbreak is over. Adult Social Care retains a responsibility to ensure continuity of care if services are likely to fail.</p> <p>This applies to the whole market including self-funders which is a significant increase in responsibility to the local authority in Wokingham</p>			<ul style="list-style-type: none"> <li>Regular advice and guidance</li> <li>Testing for staff with symptoms.</li> <li>Offer of access to staff in an emergency Infection control hotline established</li> </ul>	<p>ensure oversight of home care providers</p> <ul style="list-style-type: none"> <li>Establish a market sustainability strategy, including a long term financial support package</li> <li>Ensure flow of additional government COVID funding to providers in need</li> <li>Establish a market sustainability strategy (inc uplift policy)</li> </ul>							
13	<p><b>Climate Emergency</b></p> <p>On July 18<sup>th</sup> 2019, a motion was passed at council declaring a climate emergency. The council gave itself six months to establish the boroughs carbon footprint and develop an action plan setting how the council would achieve its targets by 2030.</p> <p>The council needs to both</p> <ul style="list-style-type: none"> <li>to reduce carbon emissions to slow climate change, and</li> <li>adapt to the impacts of extreme weather events brought on by climate change</li> </ul> <p>There are an increasing number of extreme weather events, caused by climate change, affecting council</p>		<p>Meetings continue and further actions are being developed. Revised working practices across the borough have led to a positive impact on carbon emissions.</p> <p>Key issues include ensuring current changes in working behaviour can be maintained and built upon going forward. The positive impact on this Council objective means the</p>	<ul style="list-style-type: none"> <li>Cross Council officer group established</li> <li>Cross party member climate emergency working group</li> <li>Appointed a climate emergency strategy officer to deliver the climate emergency action plan</li> <li>Climate Change Initial Action Plan approved by council on 23 Jan 2020</li> </ul>	<ul style="list-style-type: none"> <li>Council considers detailed Climate Emergency Action Plan, setting out targets for carbon dioxide reduction and the related actions proposed for Wokingham Borough Council to play as full a role as possible in achieving a net-zero carbon Borough by 2030.</li> </ul>	23/7/20	GE	GM	6	5		H



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	services and the borough in general. This ranges from episodes of heavier more prolonged rainfall resulting in flooding or higher temperatures, which result in events such as heath fires or drought conditions.  Key priority - 5		risk of non-achievement has reduced.								
14 47	<b>High Needs Block</b> The high needs block spend forms part of the revenue dedicated budget for schools. Its purpose is to provide the necessary funding to support children with special educational needs or disabilities who have been assessed as requiring an Education, Health and Care Plan. This funding is ring fenced and cannot be used for other purposes. The budget provided by Government is significantly insufficient to meet the needs of Wokingham Borough children, the consequence of which means that year on year large deficit is carried forward. Most of the current expenditure is used to purchase special educational services from outside Wokingham Borough from independent school providers. Last year, the overspend on the budget was in excess of £1 million. This year it is projected to be significantly more.		This was a pre-Covid-19 risk	<ul style="list-style-type: none"> <li>The Authority is currently in the process of expanding current special needs provision at Addington School from 200 to 250 places.</li> <li>In addition, the Council's pupil referral unit, is undergoing a major programme of refurbishment. This will improve facilities and provide resources that will reduce the need for agency placements.</li> <li>Seven specialist resources are currently provided by local primary and secondary schools. Work is underway to improve these resources and improve the current level of funding for these placements. This will when</li> </ul>	<ul style="list-style-type: none"> <li>The Council has reached agreement with the DfE to build a new 150 place special school in Wokingham to meet the needs of SEND children from the Wokingham/Reading area. This is planned to open 21/22.</li> <li>Ongoing discussions are being held with the Education and Skill Funding Agency to ascertain whether additional funding can be provided as part of a deficit recovery programme.</li> </ul>	Ongoing	CC	UC	8	4	H

Ref	Risk		Impact of COVID	Existing controls	Further Actions to Mitigate Risk	Lead			Risk Rating		Current Score
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48				<p>completed further reduce the need for expensive out of area placements.</p> <ul style="list-style-type: none"> <li>Finally, the Council is in negotiation/discussion with the Department for Education to re-broker provision for Northern House School so as to introduce a new sponsor to improve provision for children with emotional and behavioural difficulties. This is a local specialist academy that has been judged by Ofsted as inadequate.</li> </ul>							
15	<p><b>Telephony</b></p> <p>There are a number of risks associated with telephony which include the age of the current kit, capacity issues and the location of the telephony hardware.</p> <p>The impact of failure in this area would be significant affecting one of the key customer channels and impacting the wider service delivery capability of the Council.</p> <p>Priority - 6</p>		<p>This risk has been acerbated by Covid-19 which is why it has been escalated to the Corporate Risk Register.</p>	<ul style="list-style-type: none"> <li>Operational monitoring of capacity</li> <li>Operational maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Additional investment in telephony as part of 2021/22 budget setting.</li> </ul>	28/2/21	KC	JK	4	3	M

Ref	Risk		Impact of COVID	Existing controls	Further Actions to Mitigate Risk	Lead			Risk Rating		Current Score
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16	<p><b>IT Infrastructure</b></p> <p>There are a number of risks associated with the IT infrastructure including capacity. The impact of failure in this area would be very significant affecting all aspects of the wider service delivery capability of the Council.</p> <p>Priority – 6</p>		<p>This risk has been acerbated by Covid-19 which is why it has been escalated to the Corporate Risk Register.</p>	<ul style="list-style-type: none"> <li>Operational monitoring of capacity</li> <li>Operational maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Additional investment in the IT infrastructure as part of 2021/22 budget setting.</li> </ul>	28/2/21	KC	JK	8	3	H
17	<p><b>Equalities Duty</b></p> <p>The Council has made progress in 2019/20 with all key decisions taken in the context of Equality Impact Assessments.</p> <p>However, further embedding of the Public Sector Equality Duty is required including review of equality objectives which is required at least every 4 years – the objectives were last updated in March 2017.</p> <p>Priority – 6</p>		<p>There are no specific Covid-19 related impacts.</p>	<ul style="list-style-type: none"> <li>Equality Impact Assessments conducted to support decisions wherever appropriate.</li> <li>Equality Champions Group in place.</li> </ul>	<ul style="list-style-type: none"> <li>Review and update Equalities objectives based on sound data and intelligence about communities.</li> </ul>	31/1/21	KC	JH	8	4	H
18	<p><b>Planning for Pandemics</b></p> <p>The Council's emergency planning and response arrangements have been tested in extremis during the previous 5 months and proved effective in enabling the Council to respond to the Covid-19 emergency.</p> <p>The risk is now focused on ensuring lessons are put in place as appropriate.</p> <p>Priority – 1 &amp; 7</p>		<p>The Covid-19 emergency has demonstrated our initial and ongoing response plans have been effective but also renewed focus on recovery and the need to ensure post emergency lessons are put in place.</p>	<ul style="list-style-type: none"> <li>Emergency Plan in place and subject to periodic testing.</li> <li>See O&amp;S Management Committee report of 24 June setting out existing controls/mitigations.</li> </ul>	<ul style="list-style-type: none"> <li>Overview &amp; Scrutiny review of Council wide response to Covid-19 including recovery programme to identify any improvements and/or learning.</li> </ul>	Ongoing	SP	JH	8	2	M

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