

**Corporate Risk Register
Summary Page
Updated 11/2/2021**

APPENDIX A

Key

Current Score (pre-mitigation):

VH = Very High

H = High

M = Medium

L = Low

Risk Matrix

211

LIKELIHOOD

6			5, 11	
5			1, 3, 13	4, 21
4		20	8	6, 7, 12, 14, 17
3		15	2	16
2			9, 10	18, 19
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 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 (inc Cyber Security)
- 9 Health and Safety
- 10 End of the EU Transition Period
- 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
- 19 Housing Numbers
- 20 Market failure
- 21 Elections

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
CT	Chris Traill, Director of Place & Growth
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 Council 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		
213	<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 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>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 28th January 2021 sets out the latest position and forecast.</p> <p>The Council meeting on 18th February will consider budget proposals for 2021/22.</p> <p>Whilst the risk has reduced from "very high" to "high" it remains a high risk to the Council due to the uncertainties around local</p>	<ul style="list-style-type: none"> Medium term financial (MTPF) planning processes over three years. Budget management and monitoring controls as set out in financial regulations Annual Internal Audit programme covering major financial systems External Audit of Council's Financial Statements 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 	<ul style="list-style-type: none"> Overview & Scrutiny (through Community & Corporate Sub Committee) completed its review of 2021/22 budget proposals and will report to Council on 18/2/21 Budget Council on 18/2/21 will consider "balanced budget" proposals for 2021/22 Ongoing response to internal/external audits and sources of external assurance including implementation of recommendations. Lobbying re Local Government Finance Settlement for 2021 and beyond (see letter attached to Chief Finance Officer's report to Executive – Jan 21) 	18/2/21	GE	JK	6	5	H	
						18/2/21	GE	JK				
						Ongoing	GE	JK				
					Ongoing	GE	JK					

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214	<p>For further details, please refer to Chief Finance Officer's Report (section 6) as noted by Executive on 28/1/21.</p> <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 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"> Financial shortfall Negative PR Loss of rental income Scheme slippage / downsizing <p>This is a permanent, long-term risk to the Council.</p> <p>Key Priorities – 1 to 7</p>		<p>government funding from 2023 and beyond.</p>	<p>requirement, incorporating Strategic 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. Establishment of Capital Review Group (CRG) and Investment Group with appropriate senior representation. CIPFA independent assessment on financial resilience – shows Wokingham BC rated in top 20 for financial sustainability. Commercial Council launched. Overview & Scrutiny (through Community & Corporate Sub Committee) reviewed Property Investment Portfolio on 22/9/20. Audit Committee consideration of Treasury Management Strategy and Policy, and monitoring of compliance against prudential indicators. 							

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				<ul style="list-style-type: none"> In year monitoring of financial position and associated risks by Executive – see latest report of 28 January. 							
2 215	<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. <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>		<p>Clear governance arrangements for managing and responding to COVID-19 emergency including communications plan, engagement political group leader, maintenance of Council decision-making through virtual meetings.</p>	<ul style="list-style-type: none"> Council and Borough Plan processes. Up to date 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) Internal Audit reported results of Risk Management audit to Audit Committee in Sept 2020. 	<ol style="list-style-type: none"> Annual Governance Statement (and improvement action plan) in place. Internal Audits of Corporate Governance, and Performance 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>	22/2/21	SP	JH	6	3	M
						31/3/21	AM	JK			
						TBC	SP	JH			

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	Cause	Consequence/ Impact on Key Priorities				Timescale	Officer	Member	Impact	Likelihood	
216	<p>a. Leadership and culture sets the tone that models and holds to account, motivates, and learns from delivery</p> <p>b. Quality decisions that are based on balancing evidence, public perceptions and political considerations</p> <p>c. Effective monitoring of priorities, risks and business cases</p> <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>This is a permanent, long-term risk to the Council.</p> <p>Key Priority – 7</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> <p>a. Reward and recognition policies</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 & safety arrangements (risk 9).</p>	<ul style="list-style-type: none"> • People strategy • Corporate People Dashboard • Management training • Employee Engagement survey action plans 	<ul style="list-style-type: none"> • Updated People strategy including HR continuous improvement plan. <p>Personnel Board and Overview & Scrutiny to monitor (through oversight of Performance reports)</p>	2021	KC	JK	6	5	H

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217	b. Recruitment policies c. Value for money 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. Key Priority - 7										
4	<u>Local Plan Delays & Appeals and 5 year housing land supply</u> Increased number of speculative planning applications and appeals, with associated costs. Significant pressure on finance & staffing resource Attraction/retention of qualified staff to robustly assess planning applications, defend appeals and undertake enforcement.		Difficulty in demonstrating a deliverable five-year housing land supply due to uncertainties in the rate of housebuilding and sales. Potential increased speculation by developers utilising the difficulty in demonstrating a five year housing land supply. Potential delays to preparation of evidence base supporting the preparation of a new local plan.	<ul style="list-style-type: none"> Project plan in place to prepare a new local plan. Resources allocated to deliver project plan for a new local plan. Executive approved consultation on Draft Local Plan on 15 Jan 2020. Regular monitoring of housing developments. 	Adoption of up to date Local Plan and political support.	31/3/21	CT	W S	8	5	VH

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5	<p>Delivering SEND Reforms Role of the Council in SEND 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"> 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. <p>This is a permanent, long term risk to the Council.</p> <p>Key priority - 1</p>		<p>The SEND Improvement Board is continuing to meet, but has temporarily scaled down membership.</p> <p>All Task & Finish Groups have delivered a business continuity plan in respect of continued activity during the Coronavirus Outbreak.</p>	<ul style="list-style-type: none"> CWD Team Review (post Ofsted) CIN 1 / 2 Review (post Ofsted) Move of Transitions team to ASC Team stability within CWD Development of Written Statement of Action (WSOA) (Post CQC/Ofsted) SEND Strategy Published Launch and Development of the SEND Improvement Board Key focus on Task & Finish group work towards WSoA Increased engagement with parents & carers via SEND Voices Wokingham and SENDIASS Improved relationships with statutory and non-statutory partners. Introduction of weekly performance tracker Introduction of annual review tracker to ensure outcome and provision in EHCP's are reviewed in line with SEND CoP. 	<p>SEND strategy consultation with public closed 31 January 2021 with the aim of agreeing final strategy by end of year.</p> <p>Reduce High Needs Block overspend.</p> <p>Children's Services Overview & Scrutiny to monitor</p>	31/12/20	CC	UC	6	6	VH

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6 219	<p><u>Safeguarding children and young people</u> Risk of serious or significant harm to a vulnerable child or young person with whom the council is working. 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> <p>Key priority - 1</p>	<ul style="list-style-type: none"> • Reduction in agencies having contact and engagement with vulnerable children • Increase in Domestic Abuse • Increase in mental health and emotional wellbeing issues/challenges • Reduction in direct home visits by children's social care. • Impact on the quality of assessments and the judgments that people can make. • The ability to monitor and implement plans, as welfare becomes the primary focus • Increase in LAC numbers • Disruption of placements • Not being able to locate or source a placement • Staff Shielding 	<ul style="list-style-type: none"> • BWSCP Child Protection Procedures and Safeguarding Partnership • Staff Training: informed by professional knowledge and skills statement • Case Reviews and learning from cases • Policy and Procedures up to date and easily accessible to all staff • Clear Practice Framework that is implemented by all social work staff • Regular and high quality Staff Supervision • Quality Assurance Framework embedded across service • Regular Case Audits • Recruiting and retaining a skilled workforce • Growth of budget based on growth of need • Increase in work force to reflect increase in workloads • Reduction of case loads • Increase in line managers, reduction in span of control 	<ul style="list-style-type: none"> • 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. • Staff Supervision training and support • Strengthen partnership working to ensure thresholds are understood <p>Children's Services Overview & Scrutiny to monitor</p> <p>-</p>	Ongoing	CC	UC	8	3	H	

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220			<ul style="list-style-type: none"> Staff becoming unwell/infected 	<ul style="list-style-type: none"> Increase in Practice consultants to support all social care staff Grip and Grasp of placement spend and budget OFSTED informed action plan to improve service delivery Children's Services Improvement Programme focussing on agreed priorities and projects within agreed timescales 							
	<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 Possible external intervention from statutory agencies such as DH, CQC or Police) Disruption of service provision Litigation 		<p>ASC has reviewed and updated this risk due to the fundamental impacts of COVID-19</p>	<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 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 	<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	C M	8	4	H

Ref	Risk		Impact of COVID	Existing controls	Further Actions to Mitigate Risk	Lead			Risk Rating		Current Score
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	<ul style="list-style-type: none"> 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> <p>Key priority – 1</p>		<ul style="list-style-type: none"> 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. 								
8221	<p>Information and Data Management</p> <p>Risk of a significant fine and reputational damage due to loss of confidential/ sensitive data. 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 Breach of contract and payment of damages Loss of future business Increased number of complaints 	<p>Guidance from the Information Commissioner and Government on data/information management with regards to COVID-19 response is being applied across the Council ensuring continuing compliance with requirements.</p>	<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 by all staff Archiving of physical records Training for staff on document / information handling and basic 	Cyber Security Project	Ongoing	GE	JK	6	4	M	

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222	<ul style="list-style-type: none"> Loss of trust from partner organisations/contractors. Loss of access to systems to information Financial loss through fraud <p>This is a permanent, long-term risk to the Council.</p> <p>Key priority - 7</p>			<ul style="list-style-type: none"> information security practice Secure e-mail solution Document marking scheme GDPR implemented for 25/5/18 to address new obligations Training for new members Audit Committee monitoring of data protection performance - ref 25/9 Audit Committee . 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 	<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 & safety risk assessment.</p>	<ul style="list-style-type: none"> Risk profile - Awareness of high risk areas Ongoing compliance with statute policies and procedures Seeking Assurance programme Compliance with Health and Safety policies and procedures Management and Member performance monitoring reporting from Health and Safety staff Contracts with third parties include a Health and Safety 	<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</p>	Ongoing	KC	JK	6	2	M	

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223	<p>d. Publicity Order (Corporate Manslaughter only)</p> <p>e. Remedial Order (Corporate Manslaughter and HSWA)</p> <p>f. Publicity Order (Corporate Manslaughter only)</p> <p>g. Removal of key staff</p> <p>h. Reputational damage</p> <p>i. Service delivery loss due to depleted resources</p> <p>j. Damage to individuals wellbeing</p> <p>k. An avoidable death or injury</p> <p>This is a permanent, long-term risk to the Council.</p> <p>Key priority - 7</p>			<p>clause, setting out what the Council expects from the contractor in relation to Health and Safety obligations</p> <ul style="list-style-type: none"> • 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. 	<p>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> <p>Building maintenance of schools – discharging Council responsibilities.</p>						

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10	<p>End of EU Transition Period</p> <p>The transition period ended on 31 December 2020. There remain a relatively small number of residual risks remaining which include:</p> <ul style="list-style-type: none"> IT & data risks Supply chains Adult social care providers Staffing <p>This is a temporary, shorter term risk to the Council.</p>		Monitoring of the Government's position re the ongoing negotiations with EU.	<ul style="list-style-type: none"> Self-assessment of preparedness undertaken Corporate Working Group established to develop more detailed responses. Business Continuity Plans updated BREXIT risk register established 	<ul style="list-style-type: none"> Corporate Working Group chaired by Asst. Director with reps from all directorates and meeting fortnightly to assess and mitigate remaining residual risks. CT and GE leading on risks to business. Detailed risk register for "End of EU Transition Period" in place. 	In place	SP	JH	6	2	M
224	<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. 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 & CQC in August 2019. The</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.	<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 	Ongoing	CC	UC	6	6	H

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226	<p>12 <u>Adult Social Care Provider Failure</u> 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 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>		ASC has reviewed and updated this risk due to the fundamental impacts of COVID-19	<ul style="list-style-type: none"> Annual Uplift Process; agreed for 2020/21 Quality Assurance Framework An improved funding deal for providers we contract with plus ability to apply for additional temporary funding (sustainability fund) Help with supply of PPE Regular advice and guidance Testing for staff with symptoms. Offer of access to staff in an emergency Infection control hotline established 	<ul style="list-style-type: none"> Establish a rigorous contract management process that builds on provider engagement Develop and implement a rigorous contract management system (CMS) Review of the current commissioning pathway to ensure oversight of home care providers Establish a market sustainability strategy, including a long term financial support package Ensure flow of additional government COVID funding to providers in need Establish a market sustainability strategy (inc uplift policy) 	Ongoing	MP	C M	8	4	H
	<p>13 <u>Climate Emergency</u></p>		Meetings continue and further actions are being developed.	<ul style="list-style-type: none"> Cross Council officer group established 	<ul style="list-style-type: none"> Ongoing work of working group with further report 	31/7/21	GE	GM	6	5	H

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227	<p>On July 18th 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"> to reduce carbon emissions to slow climate change, and adapt to the impacts of extreme weather events brought on by climate change <p>There are an increasing number of extreme weather events, caused by climate change, affecting council 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.</p> <p>Key priority - 5</p>	<p>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 risk of non-achievement has reduced.</p>	<ul style="list-style-type: none"> Cross party member climate emergency working group Appointed a climate emergency strategy officer to deliver the climate emergency action plan Climate Change Initial Action Plan approved by council on 23 Jan 2020 On 23/7/20 the Council approved the Climate Emergency Action Plan, endorsing the targets where available for carbon dioxide reduction and the related actions proposed for Wokingham Borough Council to play as full a role as possible in achieving a carbon neutral Borough by 2030, but notes that much more work needs to be done before it can hope to achieve that aim. 	<p>back to Council in 2021 on progress against targets.</p> <ul style="list-style-type: none"> Officer responses to Climate Emergency Task and Finish group agreed by Executive. Internal Audit of Climate Emergency proposed to Audit Committee for Q1 of 2021/22 	29/10/20 (in place)	GE	GM				
14	<p>High Needs Block</p> <p>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,</p>	<p>This was a pre-Covid-19 risk</p>	<ul style="list-style-type: none"> The Authority is currently in the process of expanding current special needs provision at Addington School from 200 to 250 places. 	<ul style="list-style-type: none"> Ongoing discussions are being held with the Education and Skill Funding Agency to ascertain whether additional funding can be provided as part of 	Ongoing	CC	UC	8	4	H	

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	
228	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.			<ul style="list-style-type: none"> 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. 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 completed further reduce the need for expensive out of area placements. At its meeting of September 2020, the Executive approved a new special school at Winnersh Farm. 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 	a deficit recovery programme.						

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	Cause	Consequence/ Impact on Key Priorities				Timescale	Officer	Member	Impact	Likelihood	
				children with emotional and behavioural difficulties. This is a local specialist academy that has been judged by Ofsted as inadequate.							
15	Telephony 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. 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. Priority - 6	This risk has been acerbated by Covid-19 which is why it has been escalated to the Corporate Risk Register.	<ul style="list-style-type: none"> Operational monitoring of capacity Operational maintenance 	<ul style="list-style-type: none"> Additional investment in telephony as part of 2021/22 budget setting to be considered by Council. 	18/2/21	KC	JK	4	3	M	
229											
16	IT Infrastructure 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. Priority – 6	This risk has been acerbated by Covid-19 which is why it has been escalated to the Corporate Risk Register.	<ul style="list-style-type: none"> Operational monitoring of capacity Operational maintenance 	<ul style="list-style-type: none"> Additional investment in the IT infrastructure as part of 2021/22 budget setting to be considered by Council. 	18/2/21	KC	JK	8	3	H	
17	Equalities Duty The Council has made significant progress with all key decisions taken in the context of Equality Impact Assessments.	The impacts of Covid-19 have been experienced differentially by different parts of the local community. The updated	<ul style="list-style-type: none"> Equality Impact Assessments conducted to support decisions wherever appropriate. 	<ul style="list-style-type: none"> Review and update Equalities objectives based on sound data and intelligence about 	25/2/21	KC	JH	8	4	H	

Ref	Risk		Impact of COVID	Existing controls	Further Actions to Mitigate Risk	Lead			Risk Rating		Current Score
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	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. Priority – 6	Equalities Plan together with the Council’s approach to tackling poverty (as agreed by Executive on 28/1/21) forms key parts of the Council’s response to this risk.	<ul style="list-style-type: none"> Equality Champions Group in place. 	<p>communities. The output of this work will be considered by Executive on 25/2/21.</p> <ul style="list-style-type: none"> Council approach to tackling poverty (as agreed by Executive) Internal Audit of Equalities (including management action plan) 	28/1/21	KC	JH				
					31/10/20 (in place)	KC	JH				
18 230	<p>Planning for Pandemics</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 & 7</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.	<ul style="list-style-type: none"> Emergency Plan in place and subject to periodic testing. See O&S Management Committee report of 24 June setting out existing controls/mitigations. 	<ul style="list-style-type: none"> Overview & Scrutiny review of Council wide response to Covid-19 including recovery programme reporting to Executive on 18/2 identifying any improvements and/or learning. 	18/2/21	SP	JH	8	2	M	
19	<p>Housing Numbers in the Borough</p> <p>On 6 August 2020, the Government launched a 12 week consultation “Planning for the Future.” The proposals contained in the consultation indicate the possibility that the new house-building requirement in the Borough would increase from c800pa to 1,600pa.</p>	There are no specific Covid-19 related impacts.	<ul style="list-style-type: none"> IEMD on 22/9/20 to respond to Government consultation Leaflet drop to residents informing of the proposals Lobbying through Govt Ministers As this is a new and emerging risk with a short- 	Residual risk following mitigating actions to be kept under review.	Ongoing	CT	W S	8	2	M	

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23	<p>The potential impacts of this risk are financial (re-distribution of CIL/s106 across the country), on achieving climate emergency targets, and on the quality of life for residents if insufficient infrastructure is in place to support additional households.</p> <p>The Government announced amendments to their original proposals in December 2020.</p> <p>Priority – 1, 2, 3 & 4</p>			<p>term timescale, the latest verbal update will be provided at the Audit Committee meeting.</p>							
	<p>Market Failure NEW RISK</p> <p>Given the uncertain economic climate, there is a higher risk of failure of key providers of WBC services leading to potential impact of reduced/loss of service temporarily and additional financial cost to the Council.</p> <p>Priority – 1 to 6</p>		<p>The Covid-19 pandemic has led to significant economic impacts across various markets on which the Council relies especially for the delivery of key services.</p>	<ul style="list-style-type: none"> Financial risks monitored through ongoing revenue monitoring. Service provision risks monitored at a Directorate level. 	<p>Further mitigating actions to be developed for this new and emerging risk.</p>	Ongoing	GE	JK	4	4	M
21	<p>Elections – May 2021 NEW RISK</p> <p>On 6 May 2021 local elections and the Police & Crime Commissioner election are due to be held.</p> <p>Priority – 7</p>		<p>These polls are likely to be delivered against the backdrop of evolving public health restrictions. These present complex new challenges for all involved in the electoral process.</p>	<ul style="list-style-type: none"> Project Plan and corporate cross-council project team in place Detailed Risk Register based on Electoral Commission guidance Communications Plan 	<ul style="list-style-type: none"> Council approval of re-designation of polling places Corporate & Community O&S monitoring preparations 	18/2/21	AM	JK	8	5	VH
						22/2/21	AM	JK			

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