

## Appendix A - Corporate Risk Register

24 January 2022

Current Assessment	Very High	High	Medium	Low
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### Impact

69

Likelihood


Ref	Risk
1	Budget & Financial Resilience
2	Corporate Governance
3	Workforce
4	Uncontrolled Development (Local Plan Update)
5	Education for Children with SEND
6	Failure to meet statutory duties
7	ASC Supplier Sustainability and Sufficiency
8	Public Protection Partnership
9	Information Governance & Cyber Security
10	Climate Emergency
11	Major Emergency Response (e.g. Pandemic)
12	High Needs Block overspend
13	Health & Social Care Reform*
14	Adult Safeguarding
15	Children's Safeguarding
16*	Increase in demand for Temporary Accommodation

\*New risk

## **Key to Abbreviations**

JH	Cllr John Halsall, Leader of Council
JK	Cllr John Kaiser, Dep Leader & Exec Member for Finance
PJ	Cllr Pauline Jorgensen, Exec Member for Highways & Transport
PB	Cllr Parry Batth, Exec Member for Environment & Leisure
SM	Cllr Stuart Munro, Exec Member for Business & Economic Development
GH	Cllr Graham Howe, Exec Member for Children's Services
CM	Cllr Charles Margetts, Exec Member for Health, Wellbeing & Adult Services
BS	Cllr Bill Soane, Exec Member for Neighbourhood & Communities
WS	Cllr Wayne Smith, Exec Member for Planning & Enforcement
GM	Cllr Gregor Murray, Exec Member for Resident Services, Comms & Emissions
SP	Susan Parsonage, Chief Executive
GE	Graham Ebers, Deputy Chief Executive & Director of Resources & Assets
SW	Sally Watkins, Assistant Director Digital & Change
CB	Christine Bennett, Interim Assistant Director, Human Resources
HW	Helen Watson, Interim Director of Children's Services
SM	Steve Moore, Interim Director of Place & Growth
MP	Matt Pope, Director of Adult Social Services
AM	Andrew Moulton, Assistant Director Governance & Monitoring Officer

## **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

## Key Priority at Risk: Community Vision

1

### RISK: Budget and financial resilience

Due to increased costs, loss of income, increased cost of borrowing or non-realisation of forecast savings there is a risk that the Council is unable to finance its current services resulting in a reduction in reserves and services.

#### Existing Controls:

- MTFP (inc CFO report on risk)
- Financial and Contract Regulations (section 12 & 13 constitution)
- Budget Monitoring (Revenue & Capital)
- Capital Strategy
- Treasury Management Strategy
- Commercialisation Strategy (July 21)

- Investing in our Community Strategy (July 21)
- CIPFA Resilience Assessment
- Internal Audit
- External Audit

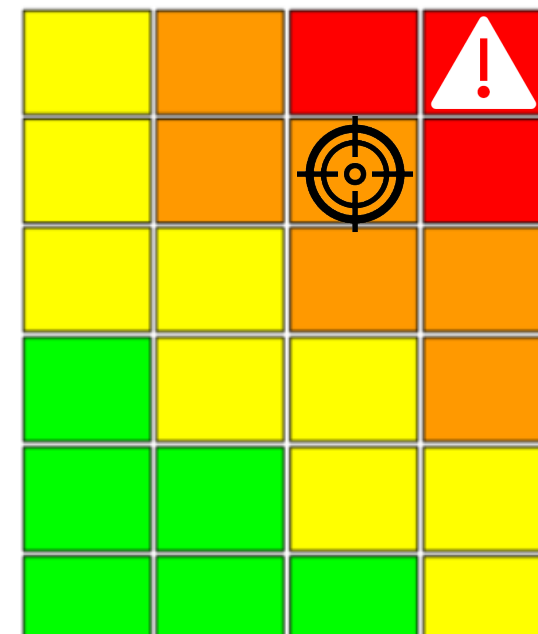
Owner

Change

JK

GE

None



! Current Risk Target Risk on Target

#### Mitigating Actions

Overview & Scrutiny report to Executive on their consideration of 2022/23 budget proposals

AM

17 Feb 2022

Council approval of balanced budget for 2022/23

GE

17 Feb 2022

Action plans to implement Internal and External Audit findings

GC

March 2022

Ongoing lobbying prior to Dec 22 announcement on three-year settlement

GE

December 2022

## Key Priority at Risk: Community Vision

2

### RISK: Corporate Governance

Governing effectively to ensure achievement of the Council's purpose and priorities within the resources available and achieving value for money. Without effective corporate governance, there is a risk that through unethical behaviour or ineffective decision-making, residents lose trust in the way the Council undertakes and carries out its duties.

#### Existing Controls:

- Community Vision and Corporate Delivery Plan
- Local Code of Corporate Governance
- Constitution (i.e. Council rules of procedure, conduct and compliance)
- Annual Governance Statement
- Performance framework
- Risk Management Policy & Guidance
- Internal Audit
- External Audit
- Standards Committee
- Overview & Scrutiny function
- LGA Corporate Peer Challenge
- Governance Dashboard

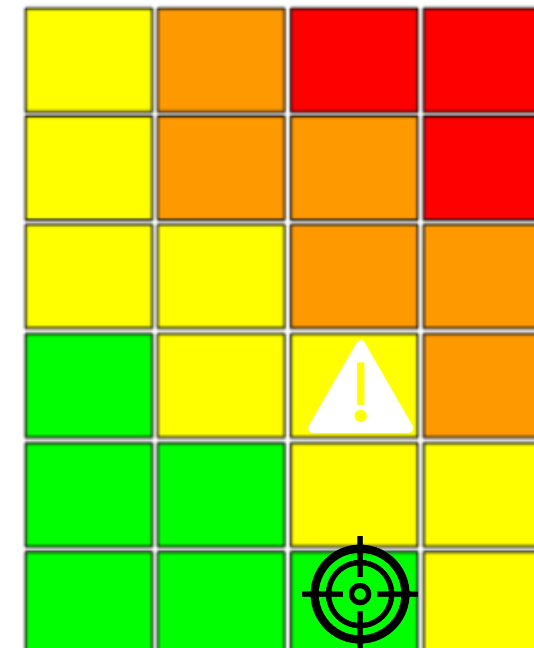
Owner

Change

JH

SP

Decrease



⚠ Current Risk 🎯 Target ✅ Risk on Target

#### Mitigating Actions

LGA Corporate Peer Review report and action plan

Owner

Date

SP

March 22

AGS 2020/21 improvement action plan implementation

AM

March 22

## Key Priority at Risk: Community Vision

3

### RISK: Workforce

Due to inability to recruit and retain sufficient permanent staff with the right skills and experience there is a risk that the council is unable to deliver its Community Vision.

#### Existing Controls:

- Annual Performance Regime
- HR Hub
- Reward and Recognition
- Training Budgets
- Recruitment Resources
- Corporate Staff Survey Action plans

- Corporate Agency Contract
- Management Information
- Management Capacity

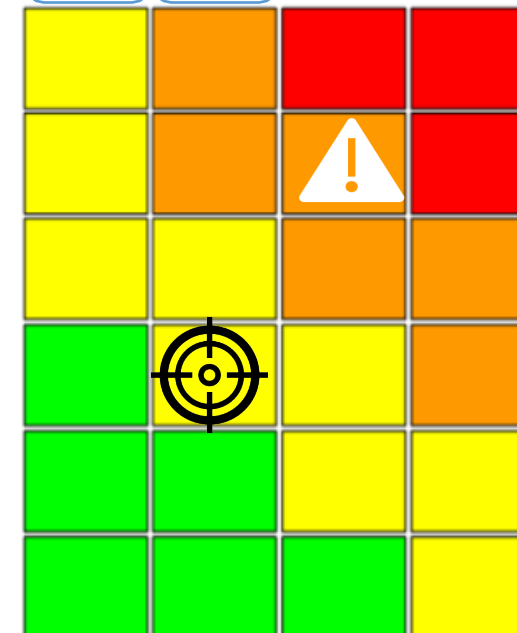
Owner

Change

JK

CB

None



Warning Triangle Current Risk Target Risk on Target

#### Mitigating Actions

HR policy review

Owner

CB

Date

Dec 2022

New HR operating model

CB

March 2022

HR & OD Strategy

CB

June 2022

## Key Priority at Risk: Right Homes, Right Places

4

### RISK: Uncontrolled Development - Local Plan Update

Without effective planning policies, there would be no real control or influence over where and how new housing and other types of development take place. This could lead to housing and other forms of development being allowed in poor locations, being of lower quality, and in places where infrastructure cannot be improved to help deal with the impacts.

#### Existing Controls:

- Timetable for adoption of new Local Plan in place
- Resources allocated
- Public consultation processes
- Monitoring housing developments

- Revised growth strategy agreed by Executive for consultation

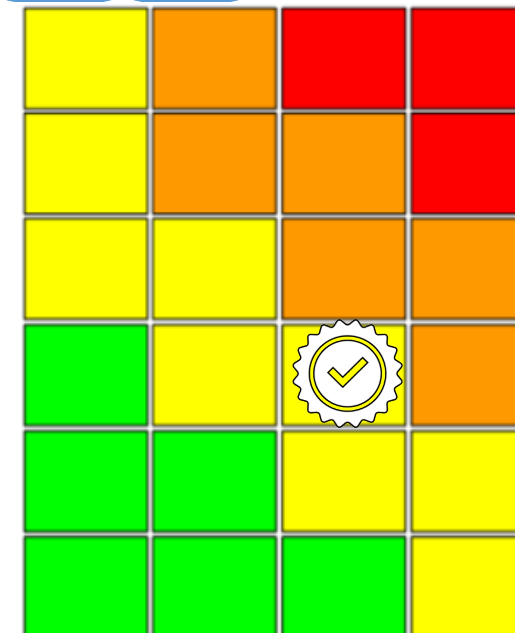
Owner

Change

WS

SM

None



⚠ Current Risk    🎯 Target    ✅ Risk on Target

#### Mitigating Actions/Key Milestones

Mitigating Actions/Key Milestones	Owner	Date
Revised growth strategy public consultation	SM	Nov 21 to Jan 22
Submission of Local Plan Update to Government	SM	Late 22
Inspector examination	SM	2023
Adoption of LPU	SM	2024/25

## Key Priority at Risk: Safe, strong communities

5

### RISK: Insufficient local provision of education for Children with SEND

Due to inability to meet the growing demands of Children with SEND locally there is a risk that children are educated far away from their families in more costly out of borough provision, putting pressure on the High Needs Block funds.

#### Existing Controls:

- SEND Strategy
- SEND Improvement Board
- Collaboration with SEND Voices & SENDIASS Wokingham
- Weekly performance tracker

- Improved relationships with providers
- Annual review tracker

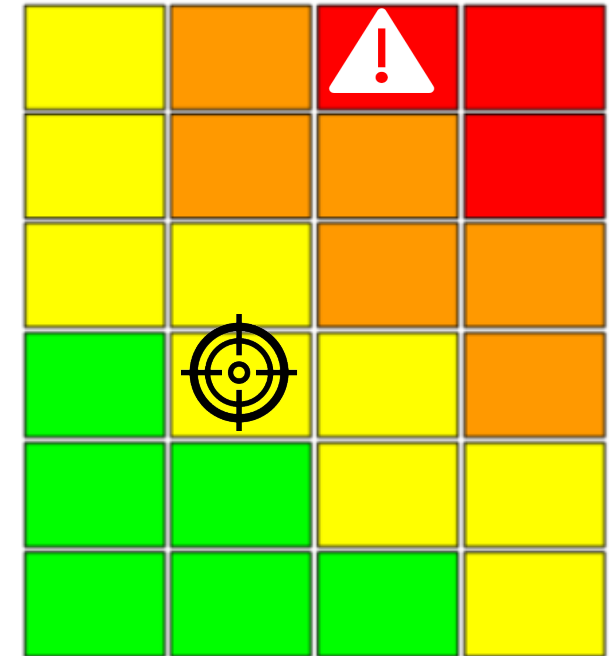
Owner

Change

CM

HW

None



⚠ Current Risk 🎯 Target ✅ Risk on Target

#### Mitigating Action

Send innovation and improvement programme

Owner

HW

Date

Ongoing

## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

6

### Failure to meet statutory duties (Health & Safety and Equalities)

Due to insufficient capability/capacity, there is the risk that the Council does not meet its statutory duties in key areas leading to avoidable harm, litigation, fines and reputational damage.

#### Existing Controls:

- Statutory policies in place for equalities and health & safety
- Resource monitoring vs demand
- Health & Safety specialist advisers in place

- Council wide Equalities Programme established
- Directorate risk registers holding detail of specific mitigations for these risks

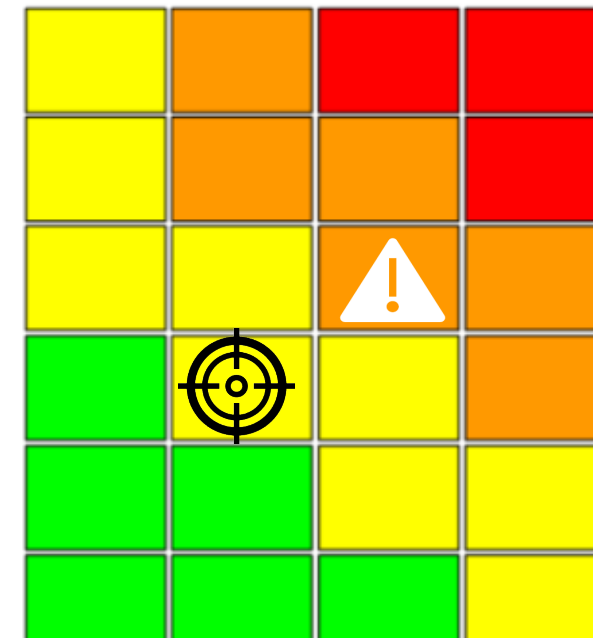
Owner

Change

JH

SP

None



! Current Risk    Target    Risk on Target

#### Mitigating Action

Owner

Date

H&S Risk Mitigation Actions detailed in the CIS Risk Register

CB

Feb 22

Equalities Risk Mitigation Actions detailed in the Equalities Programme Risk Register

SW

Feb 22



## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

7

### Adult Social Care Supplier Sustainability and Sufficiency

Increasing needs of our local population are pushing up the demand for older and disabled people, placing the social care system under huge strain. It is acknowledged that nationally that there is insufficient funding within the care sector to meet the challenges faced by our local care providers. COVID-19 has exacerbated the issues and while local providers have maintained high levels of care, additional workforce pressures will impact on the capacity within the sector. The risks are that a provider may fail or that we are unable to source care for a vulnerable resident.

#### Existing Controls:

- Optalis provider of last resort
- Care Capacity Tracker monitoring and targeted action taken as required
- Lobbying of MPs and Government
- COVID grant allocation and additional sustainability funding – extension to Mar-22
- Recruitment campaign (Every day is different)
- Quarterly provider forums
- Early warning flags identified for key providers
- ASC COVID task force in place

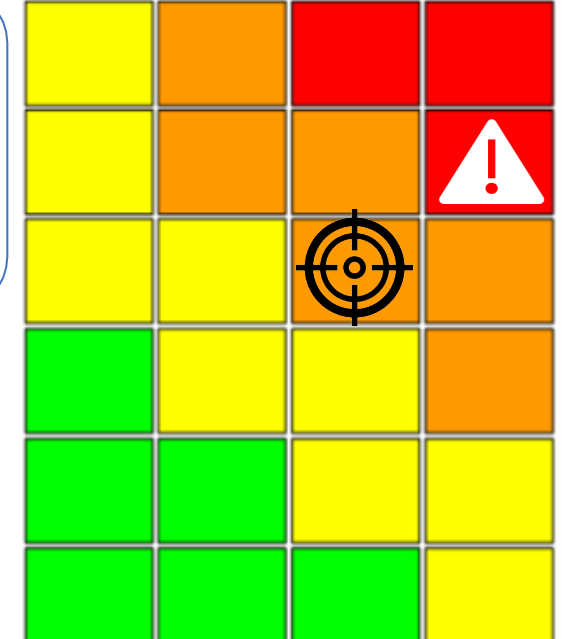
Owner

Change

CM

MP

Increase



! Current Risk Target Risk on Target

#### Mitigating Action

Owner

Date

Workforce Strategy

MP

Jan 22

ASC Market Position Statement

MP

Mar 22

Additional provider support in place for the winter period: Regular business continuity calls, transport options sourced for home care providers, appeal for redeployees to support care providers

MP

Mar 22

## Key Priority at Risk: Community Vision

8

### Public Protection Partnership

Due to the complex challenges of implementing a new delivery model for PPP there is a risk that delivery of the service to residents is disrupted leading to resident dissatisfaction and reputational damage.

#### Existing Controls:

- Transition programme plan in place.
- Programme Manager in place.
- Executive (Sept 21) agreed part provision of regulatory services

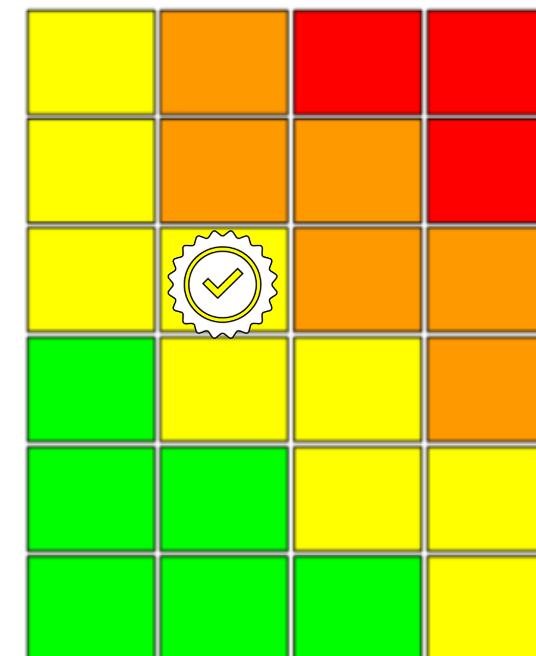
Owner

Change

PB/  
JK

SM

None



⚠ Current Risk    🎯 Target    ✅ Risk on Target

#### Mitigating Action

Delivery of PPP programme

Owner

SM

Date

31 March 2022

## Objective at Risk: Community Vision

9

### Climate Emergency

Due to complexity of behaviour change required, there is a risk that the Council is unable to meet its carbon reduction aspirations leading to a failure of the Borough to deliver its contribution to climate change.

#### Existing Controls:

66

- Climate Emergency Action Plan (CEAP)
- Climate Emergency Group
- Capital Programme investment
- Overview and Scrutiny review
- Annual Climate Change Report to Council

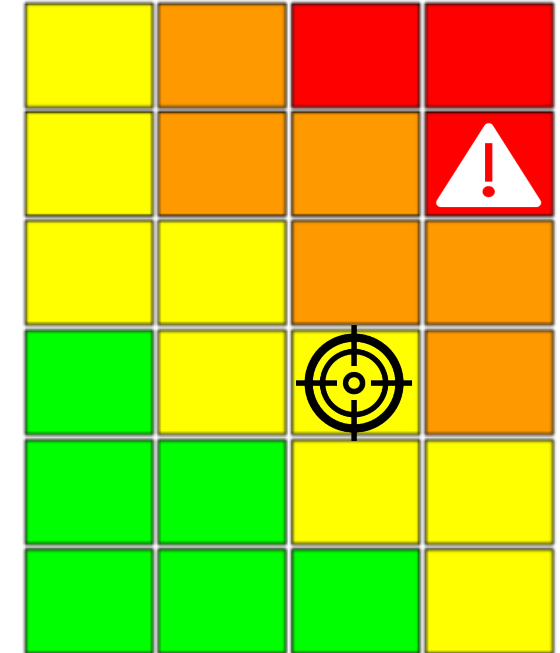
Owner

Change

GM

GE

None



Warning Current Risk Target Risk on Target

#### Mitigating Action

Owner

Date

Response to Internal Audit

RH

March 22

Climate Change adaptation plan

RH

April 23

## Objective at Risk: Community Vision

10

### Information Governance and Cyber Security

Cyber attack and/or weak information governance practices leads to the unavailability of key information and/or disclosure of personal sensitive data causing inability to deliver services, increased costs, fines, reputational damage and loss of trust.

#### Existing Controls:

- Cyber security response team
- Roles and Responsibilities
- Information Security and Acceptable Use Policy
- Encrypted equipment
- E-learning refresher (every 2 years)
- Secure e-mail solution
- Document Marking Scheme
- Data and Information Governance Group

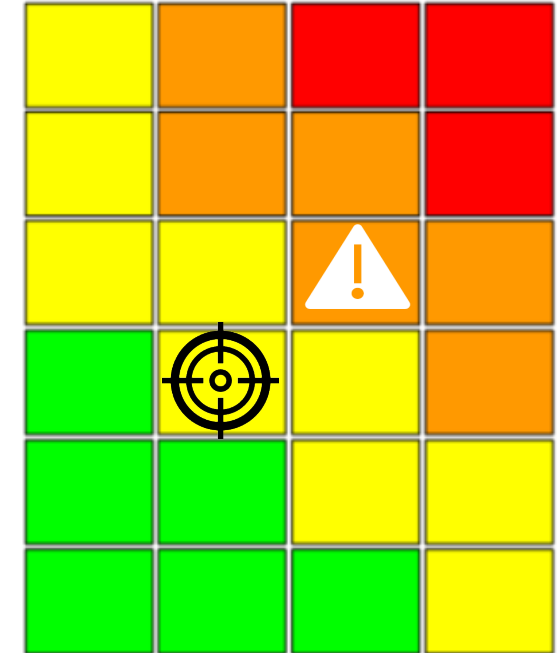
Owner

Change

JK

GE

Increase



Current Risk



Target



Risk on Target

#### Mitigating Action

Owner

Date

Transparency Data Review

AM

Sept 22

Information Governance & Cyber security awareness programme

AM

March 22

Improved reporting to CLT on information governance and cyber security

AM

March 22

## Objective at Risk: Community Vision

11

### Major Emergency Response (Pandemic)

Due to an unlikely but high impact major emergency the Council is required to lead a large-scale community response leading to impact on business as usual and requirement to focus resources on key priorities.

#### Existing Controls:

- Covid Recovery Strategy
- Emergency plan and Council-wide Business Continuity Planning
- Learning from Overview & Scrutiny review of Covid response
- In-house Emergency Planning Service

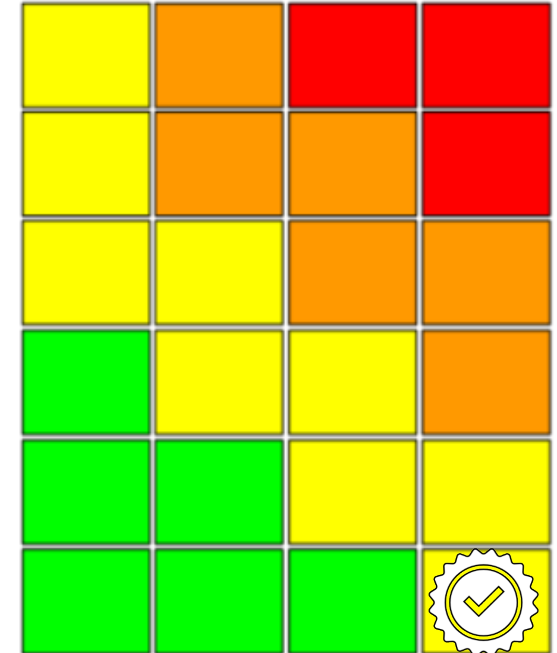
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Change

JH

SP

Decrease



⚠ Current Risk    🎯 Target    ✅ Risk on Target

#### Mitigating Action

Owner

Date

No mitigating actions currently applicable.

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## Objective at Risk: Community Vision

12

High Needs Block overspend (link to risk 5)

Due to the increased demand and costs of SEND education provision there is the risk that DfE requires repayment of our high needs block overspend of £xm resulting in a significant impact on reserves and budget pressures.

### Existing Controls:

- Deficit Reduction Plan
  - Expansion of Addington School
  - Winnersh Farm School
  - PRU improvement
  - Resource unit review

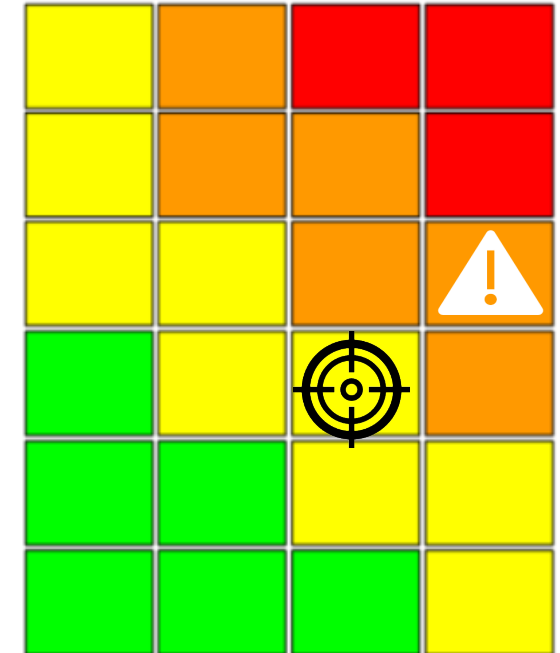
Owner

Change

GH

HW

None



Warning Current Risk Target Risk on Target

### Mitigating Action

Owner

Date

Discussions with the Education and Skills Funding Agency around additional funding

HW

Ongoing

## Objective at Risk: Community Vision

13

### Health & Social Care Reform

Due to uncertainty about government reforms that come into force from 2022, and a funding change to follow in 2023, there is a risk that there are major changes in the Council's responsibilities that lead to significant financial impact and changes to our successful partnership with health.

#### Existing Controls:

- Monitor legislative changes
- Members lobbying MPs and Government
- Analytical work to assess the potential impact on services
- Working with other LAs through our regional network to consider and plan for future impact

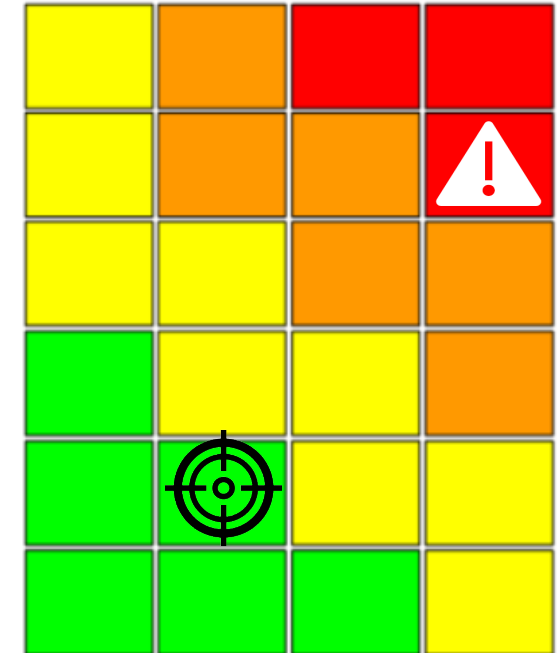
Owner

Change

CM

MP

None



Warning Triangle Current Risk Target Risk on Target

#### Mitigating Action

No mitigating actions currently applicable.

Owner

Date

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## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

14

### Failure to meet statutory duties (Safeguarding Adults)

Due to insufficient capability/capacity, there is the risk that the Council does not meet its safeguarding responsibilities for adults leading to avoidable harm, litigation, fines and reputational damage.

#### Existing Controls:

- Adult Safeguarding Hub (ASH)
- Pan Berkshire Policies and Procedures
- ASH new proportionate and person-centred processes and pathway
- ASH fully staffed and dedicated Admin
- Effective relationships embedded with key partners and forums
- Management and supervision

- Staff training and awareness
- Berkshire West Safeguarding Board
- Optalis contract as emergency provider
- Care Governance Quality Assurance
- Market Failure protocol
- Risk Assessment for Safeguarding complete
- Joint working between HoS and PSW

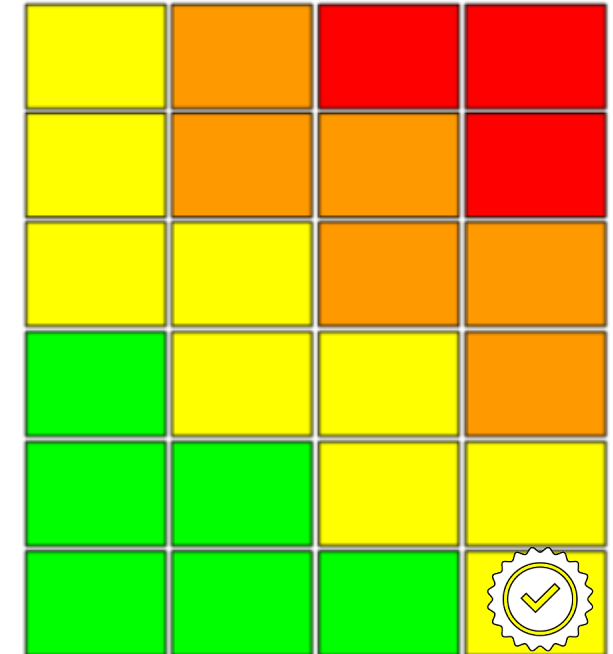
Owner

Change

CM

MP

None



⚠ Current Risk    🎯 Target    ✅ Risk on Target

#### Mitigating Action

Ensure workforce development around bespoke safeguarding are addressed

Owner

MP

Date

Mar 23

Implement QAF for Safeguarding

MP

Mar 23



## Key Priority at Risk: Enriching Lives & Safe, Strong Communities

15

### Failure to meet statutory duties (Safeguarding Children)

Due to insufficient capability/capacity, there is the risk that the Council does not meet its safeguarding responsibilities for Children leading to avoidable harm, litigation, fines and reputational damage.

#### Existing Controls:

- BWSCP Child Protection Procedures and Safeguarding Partnership
- Staff Training
- Case Reviews & Audits
- Policies and Procedures
- Practice Framework
- Staff Supervision
- Quality Assurance Framework

- Sufficient skilled workforce
- Growth of budget based on growth of need
- Manageable case loads
- Managers reduced span of control
- Practice consultants
- OFSTED informed action plan to improvement
- “Early Warning” process developed

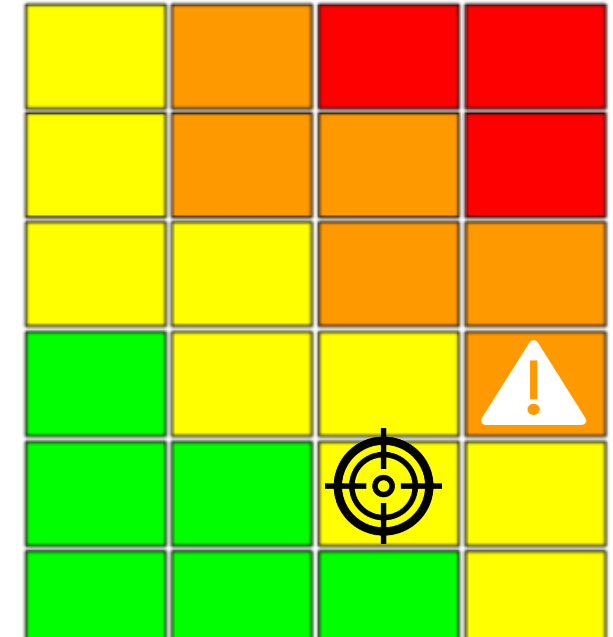
Owner

Change

GH

HW

None



! Current Risk Target Risk on Target

#### Mitigating Action

Continuous Improvement Programme (CIP) for Children’s Services to include implementing approaches to reducing/managing demand for statutory services.

HW

31<sup>st</sup> March 22

Establish process for reviewing Business Continuity plans in response to emerging or anticipated threats which may affect staffing

HW

31<sup>st</sup> March 22

Ongoing response to internal/external audits and sources of external assurance including implementation of recommendations.

HW

Ongoing

Strengthen partnership working to ensure thresholds are understood

HW

Ongoing

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