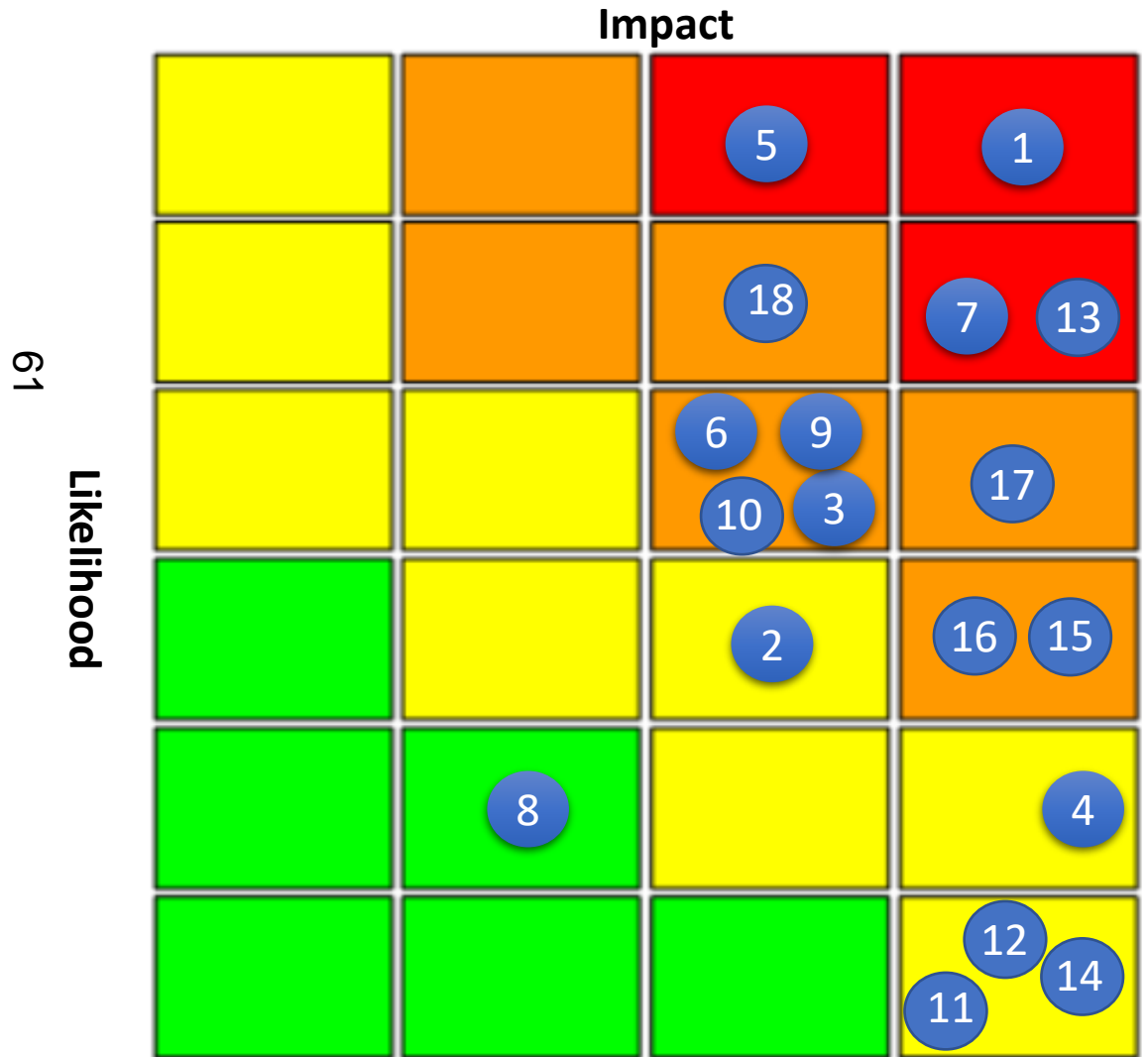


Appendix A - Corporate Risk Register 25 April 2022				
Current Assessment	Very High	High	Medium	Low



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	Inward migration*
17	Public Transport*
18	Education Provision Mainstream*

*New risk

Key to Abbreviations

CJ	Cllr Clive Jones, Leader of Council
CH	Cllr Stephen Conway, Deputy leader and executive member for housing
RBF	Cllr Rachel Bishop Firth, Executive member for equalities, inclusion and fighting poverty
LF	Cllr Lindsay Ferris, Executive member for planning and the local plan
SK	Cllr Sarah Kerr, Executive member for climate emergency and residents services
IS	Cllr Ian Shenton, Executive member for the environment, sports and leisure
PF	Cllr Paul Fishwick, Executive member for active travel, highways and transport
PB	Cllr Prue Bray, Executive member for children's services
DH	Cllr David Hare, Executive member for wellbeing and adult services
ISD	Cllr Imogen Shepherd-Dubey, Executive member for finance
SP	Susan Parsonage, Chief Executive
GE	Graham Ebers, Deputy Chief Executive & Director of Resources & Assets
SW	Sally Watkins, Assistant Director Digital & Change
HW	Helen Watson, 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

Owner

Change

1

RISK: Budget and financial resilience

ISD

GE

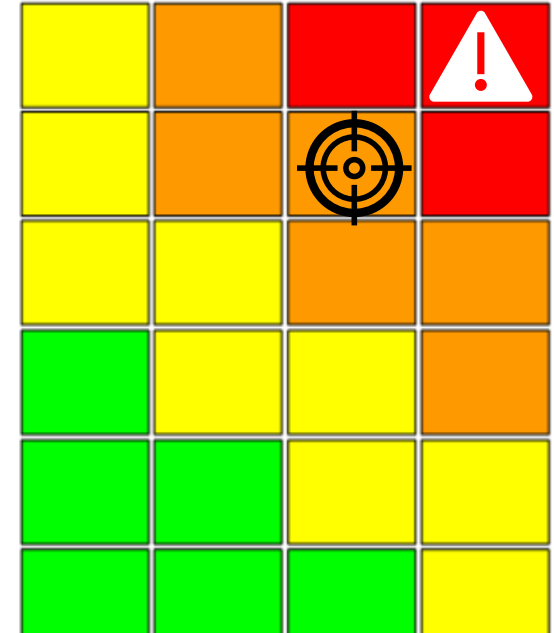
None

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
- Overview and Scrutiny consideration of 22/23 budget



⚠ Current Risk Target Risk on Target

63

Mitigating Actions

Owner

Date

Mid year budget

GE

September 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

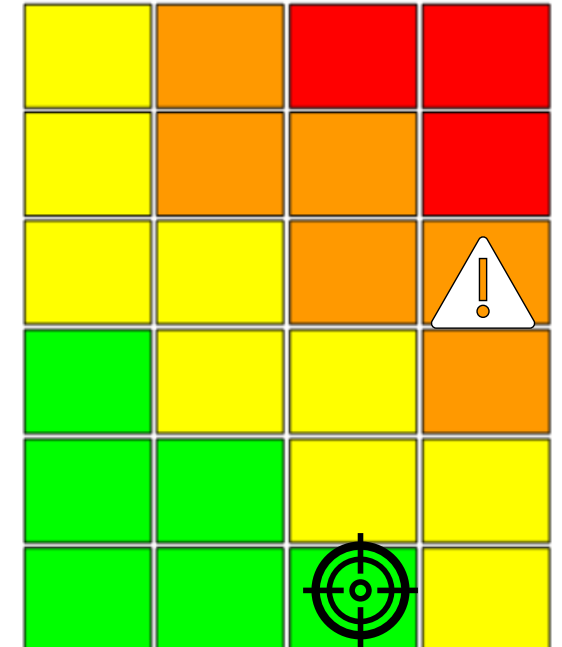
Governing effectively to ensure achievement of the Council's purpose and priorities within the resources available and achieving value for money. Without effective corporate governance, there is a risk that through unethical behaviour or ineffective decision-making, residents lose trust in the way the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

64

Owner		Change	
CJ	SP	Decrease	



Warning Current Risk Target Risk on Target

Mitigating Actions

LGA Corporate Peer Review action plan implementation and follow up visit

Owner

SP

Date

May 22

AGS 2021/22 review of Governance to Audit Committee

AM

1 June 22

Key Priority at Risk: Community Vision

3

RISK: Workforce

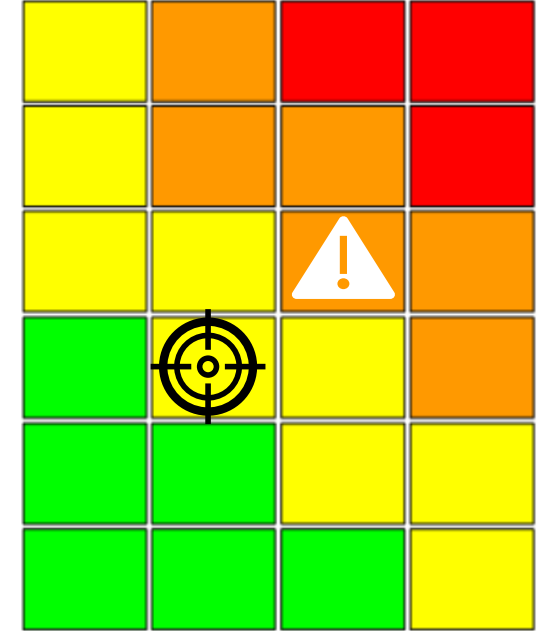
Due to the inability to recruit, retain and efficiently manage the Council structure by sufficient permanent staff with the right skills, competence and experience there is a risk that the council is unable to deliver its Community Vision and is subject to litigation leading to fines and reputational damage.

Existing Controls:

- Annual Performance Regime
- HR Hub
- Reward and Recognition
- Training Budgets
- Recruitment Resources
- Corporate Agency Contract

- Workforce Dashboard and Establishment reporting
- IT systems (BWO, Applicant Tracking and Learning Management)
- Mandatory Training
- Learning & Organisational Development Functions

Owner		Change
CJ	SP	Increase



Current Risk Target Risk on Target

65

Mitigating Actions	Owner	Date
HR policy review	SP	Dec 2022
Fully populated HR operating model	SP	September 2022
HR & OD Strategy	SP	Dec 2022
Position statement on Hybrid Working	SP	May 2022
Procurement of HR Management Information System	SP	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

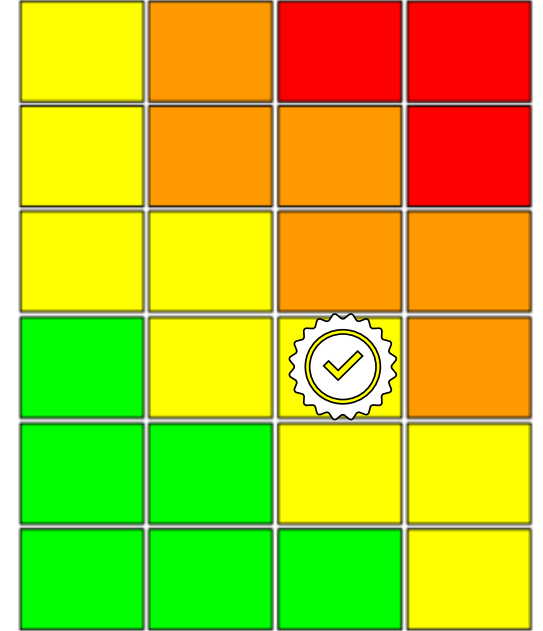
Owner

Change

LF

SM

None



⚠ Current Risk 🎯 Target ✅ Risk on Target

Mitigating Actions/Key Milestones

Submission of Local Plan Update to Government

Owner

SM

Date

Late 22

Inspector examination

SM

2023

Adoption of LPU

SM

2024/25

Key Priority at Risk: Safe, strong communities

Owner

Change

PB

HW

None

5

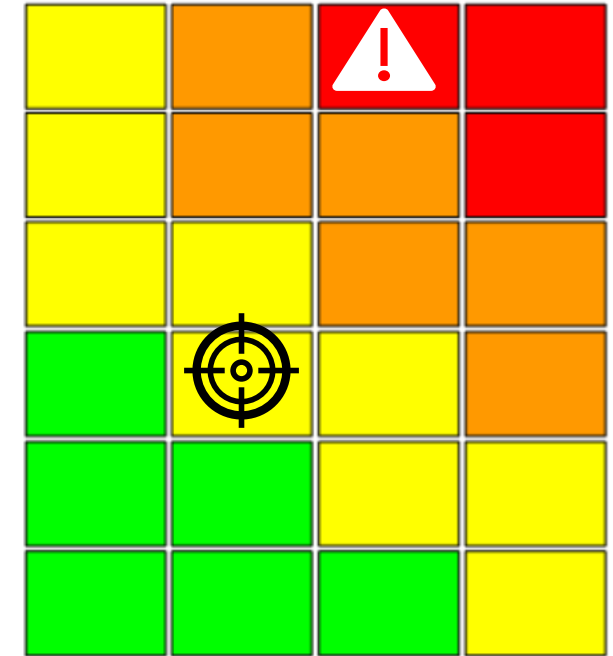
RISK: Insufficient local provision of education for Children with SEND

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



⚠ Current Risk 🎯 Target ✅ Risk on Target

67

Mitigating Action	Owner	Date
Send innovation and improvement programme	HW	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 and awareness there is the risk that the Council does not meet its statutory duties in key areas leading to avoidable harm, litigation, fines, corporate manslaughter and reputational damage.

Existing Controls:

- Statutory policies in place for equalities and health & safety
- Prioritisation of H&S activity
- Strategic Plan to identify continuous improvement “Seeking Assurance” programme (two yearly)
- Health & Safety specialist advisers in place

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

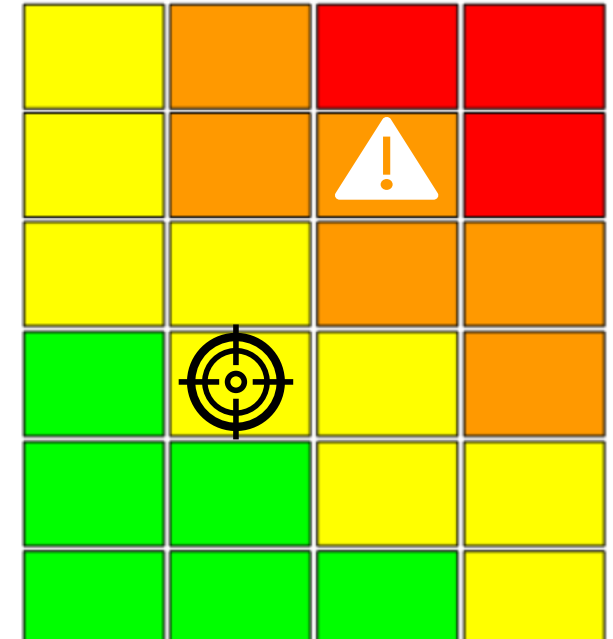
Owner

Change

CJ

SP

Increase



Current Risk Target Risk on Target

Mitigating Action

Owner

Date

H&S Risks to be outlined in quarterly H&S Dashboard

SP

July 22

Implementation of the strategic safety improvement action plan

SP

April 23

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

Due to increasing needs of our local older and disabled people population demand is increasing 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. There is a risk 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, additional sustainability funding and additional support to providers over the winter period

- Recruitment campaign (Every day is different)
- Quarterly provider forums
- Early warning flags identified for key providers
- ASC COVID task force in place
- PPE portal remains in place for providers until Mar-23
- ASC Market Position Statement published

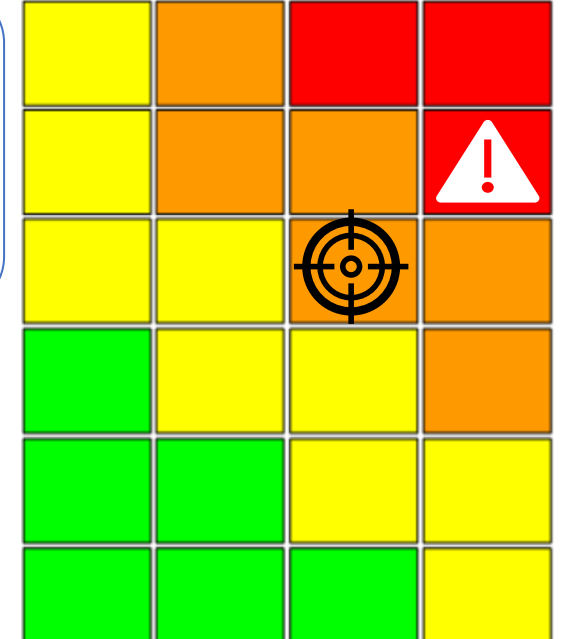
Owner

Change

DH

MP

Increase



Warning Current Risk Target Risk on Target

Mitigating Action

Workforce Strategy published

Owner

MP

Date

May 22

Routine monitoring of providers sufficiency with support provided as required, and monthly reviews to assess any wider action required. Contingency planning in place to address any significant issues raised by care providers. Action to remain in place for the remainder of the year and reviewed regularly.

MP

Mar-23

Key Priority at Risk: Community Vision

Owner

Change

8

Public Protection Partnership

IS

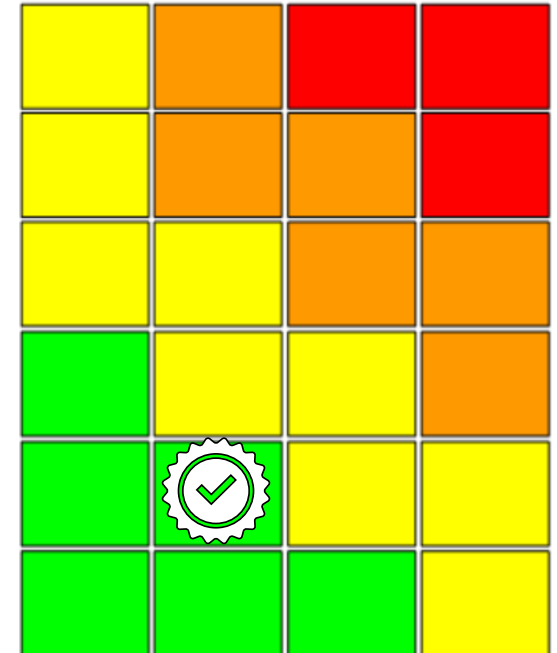
SM

Decrease

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



⚠ Current Risk 🎯 Target ✅ Risk on Target

Mitigating Action

Owner

Date

Delivery of PPP programme

SM

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:

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

71

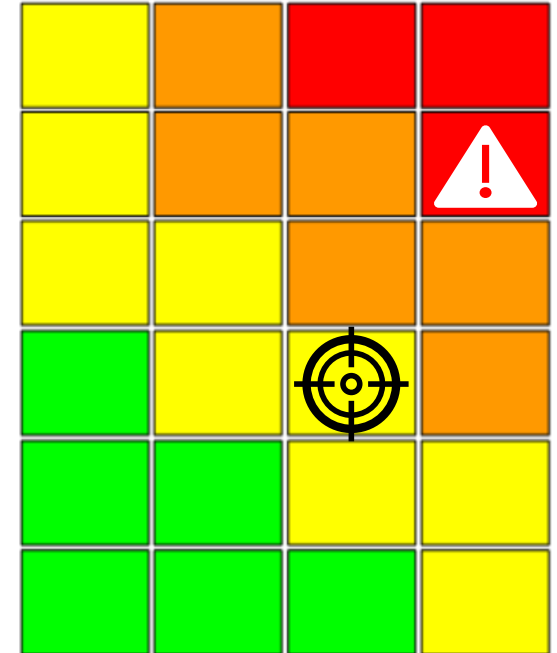
Owner

Change

SK

GE

None



Warning Current Risk Target Risk on Target

Mitigating Action

Owner

Date

Deliberative Process

RH

September 22

Energy Strategy

RH

December 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
- Digital & Tech Newsletter cyber risk
- Emergency patching and firewall config

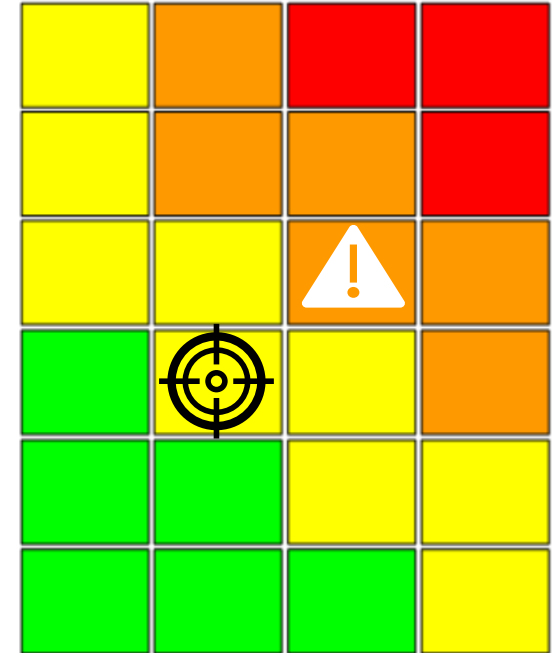
Owner

Change

CJ

GE

Increase



Warning Current Risk Target Risk on Target

72

Mitigating Action

Owner

Date

Transparency Data Review

AM

Sept 22

Simulated phishing attack

SW

June 22

National Cyber Security Centre Board Toolkit review

AM

June 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

- Gold, Silver and Bronze response structure

73

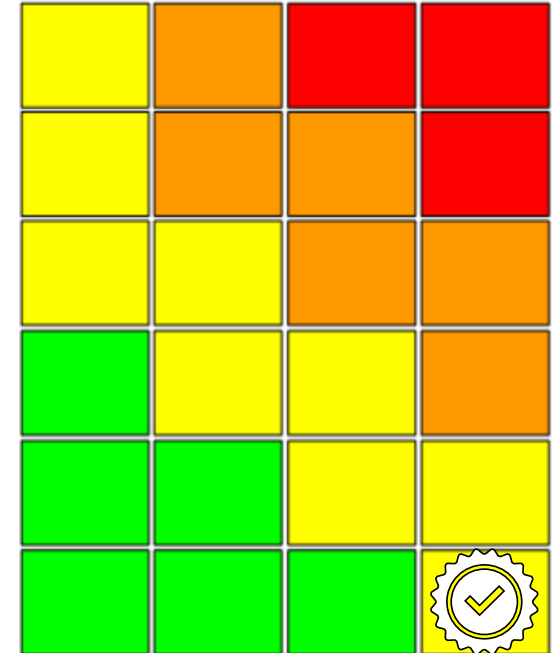
Owner

Change

CJ

SP

Decrease



⚠ Current Risk 🎯 Target ⚙️ Risk on Target

Mitigating Action

Owner

Date

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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

74

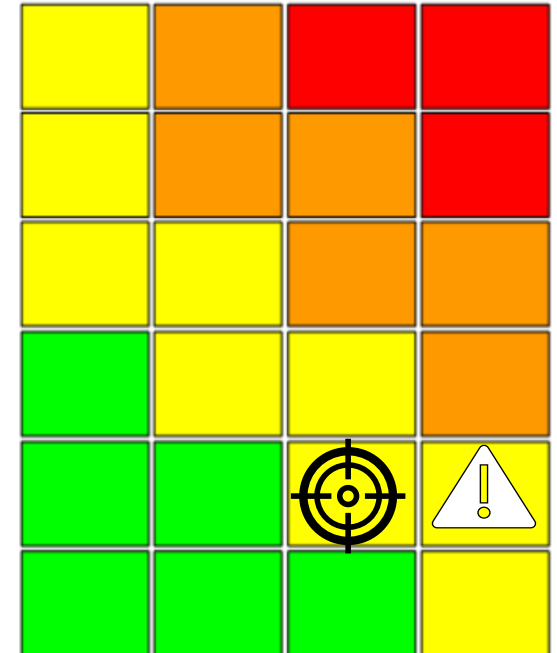
Owner

Change

PB

HW

None



Current Risk
 Target
 Risk on Target

Mitigating Action

Discussions with the Education and Skills Funding Agency around additional funding

Owner

HW

Date

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 will lead to significant financial impact (£20-30m), workforce pressures, social care market pressures and administrative challenges (IT system).

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
- LA response provided to DHSC consultation Mar-22
 - Engagement with LGA workshops assessing the impact of the reforms
 - Working with case management software supplier to assess required changes

75

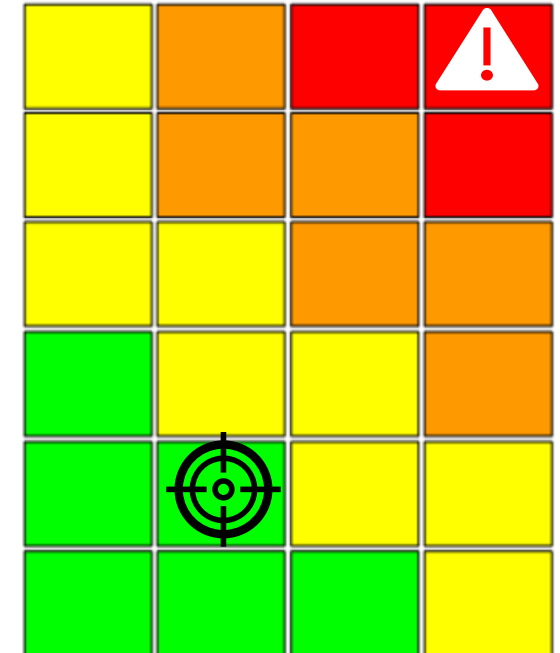
Owner

Change

DH

MP

None



Current Risk Target Risk on Target

Mitigating Action

Owner

Date

Project work underway to scope the response to the reforms

MP

Mar 23

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

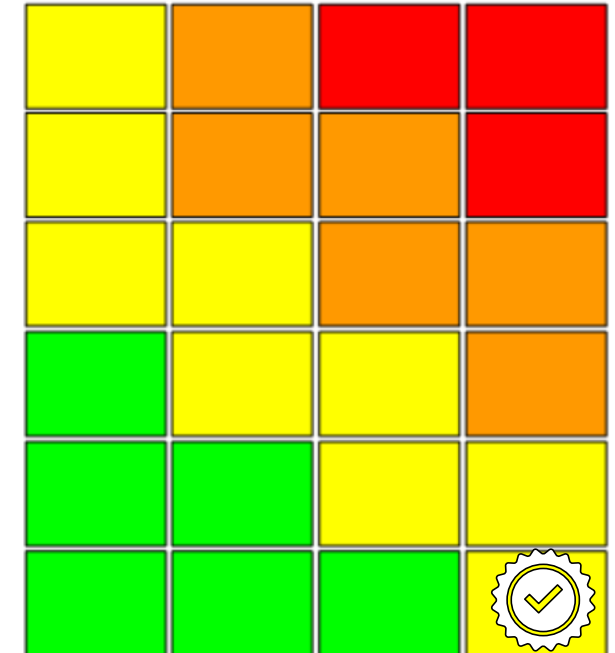
Owner

Change

DH

MP

None



⚠️ Current Risk 🎯 Target ✅ Risk on Target

Mitigating Action

Owner

Date

Ensure workforce development around bespoke safeguarding are addressed

MP

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
- Increase in line managers, reduction in span of control
- Practice consultants
- OFSTED informed action plan to improve service delivery

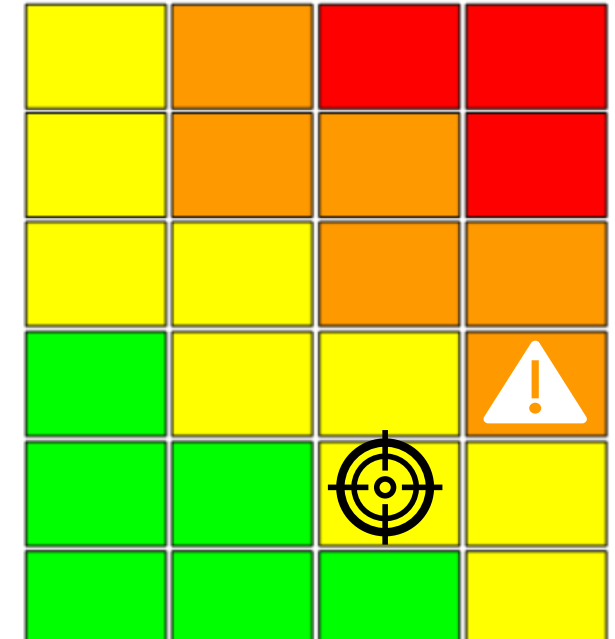
Owner

Change

PB

HW

None



Warning Current Risk Target Risk on Target

Mitigating Action

Owner

Date

Continuous Improvement Programme (CIP) for Children's Services reviewed following Ofsted annual letter

HW

September 22

Recruitment and Retention programme to recruit a permanent workforce

HW

April 23

Key Priority at Risk: Strong Communities

16

Inward Migration

Due to the conflict in Ukraine, Hong Kong nationals and refugees there is a risk that the Council is unable to effectively support them resulting in poor outcomes for them, the community and additional costs to the Council

Existing Controls:

Gold and Silver response meetings and taskforce assembled
Engagement with Voluntary Sector and Partners to ensure a coordinated approach.
Child and Adult Safeguarding to protect vulnerable guests

Caseworkers in place to liaise with hosts and Ukrainian guests.
Educational provision for children and support for adults for employment and benefits

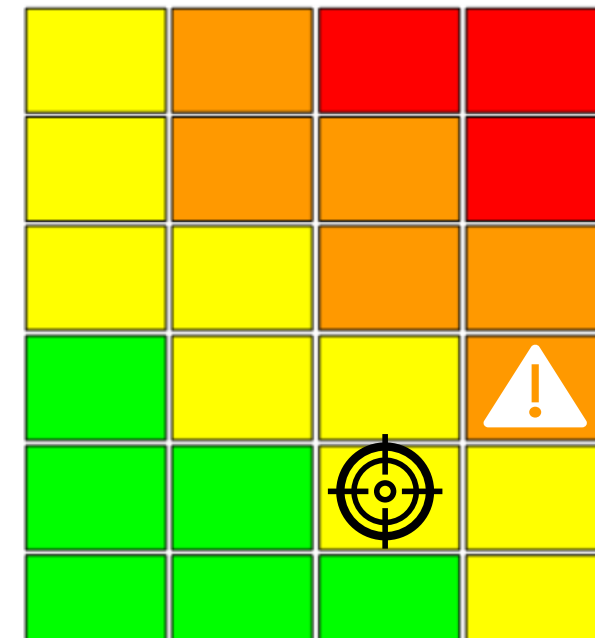
Owner

Change

RBF

SM

New



Warning Current Risk Target Risk on Target

Mitigating Action

Contingency arrangements in place to prevent and respond to relationship breakdown between hosts and guests

Owner

Date

SW/ZM

June 2022

Co-produce social inclusion and activity programme with voluntary sector

SW/ZM

June 2022

Engage with Health partners to address trauma and mental health support for guests

SW/ZM

June 2022

Key Priority at Risk: Strong Communities

17

Public Transport

Due to fewer passengers travelling, increasing operational costs and a future reduction in government funding there is a risk that local bus services are withdrawn or reduced. The results will be increasing congestion, social isolation, a failure to achieve climate emergency reduction targets, and reduced accessibility to work, education, health care facilities and leisure opportunities.

Existing Controls:

Engagement with local bus operators and neighbouring LTAs
Bus network review currently underway

Short-term contingency funding agreed through emergency release of S106
Concessionary travel reimbursed at 100% until October
Government funding extended until Oct 2022

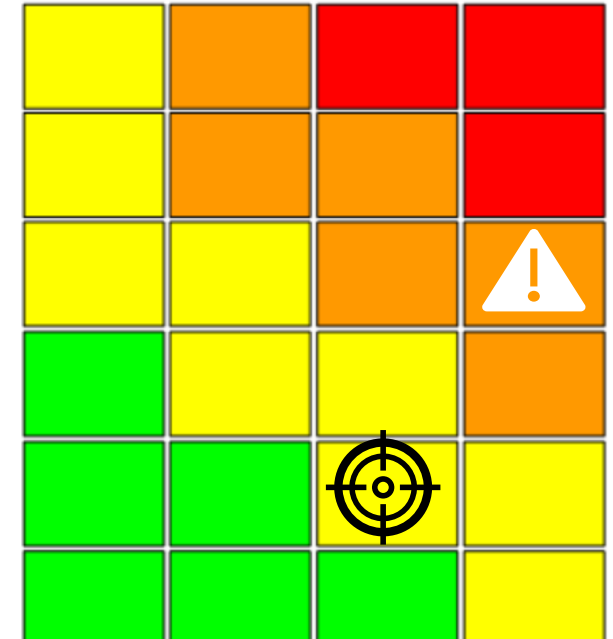
Owner

Change

PF

SM

New



Warning Icon Current Risk Target Risk on Target

Mitigating Action

Demand Responsive transport being considered

Owner

Date

SM

Sept 22

On-going discussions with Reading Buses to review route planning

SM

June 22

Key Priority at Risk: Safe, strong communities

18 RISK: Insufficient borough school place provision for mainstream children

Due to increased numbers of children moving into the borough including international arrivals (Hong Kong nationals and Ukrainian children) in both primary and secondary phases and too few places for girls (secondary phase) there is a risk of breach of the statutory place sufficiency duty.

Existing Controls:

- Primary Strategy 2018 to 2028
- Secondary Strategy 2022
- SCAP annual statutory places return to DfE
- Annual update of roll projections
- Regular reports to CSO&SC
- Regular item at BEP meetings

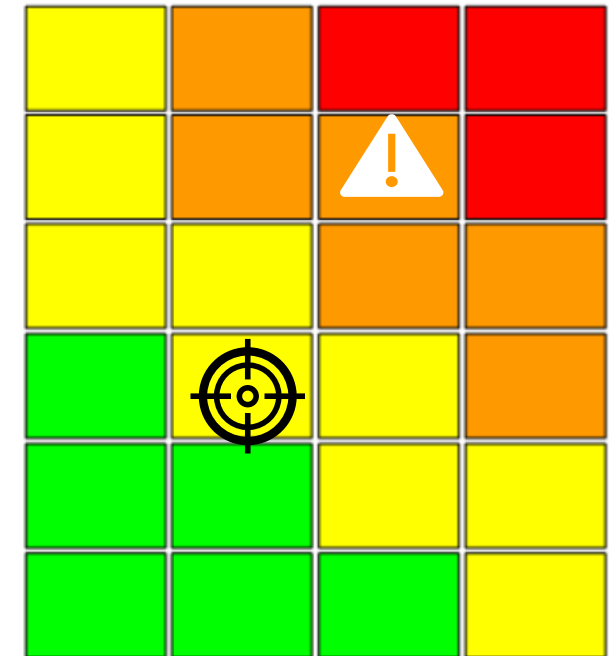
Owner

Change

PB

HW

New



Current Risk Target Risk on Target

08

Mitigating Action	Owner	Date
Secondary place strategy school level expansion plans in preparation	HW	Ongoing
2022 roll projection update	HW	June 2022
Primary Places Strategy update	HW	Autumn 2022