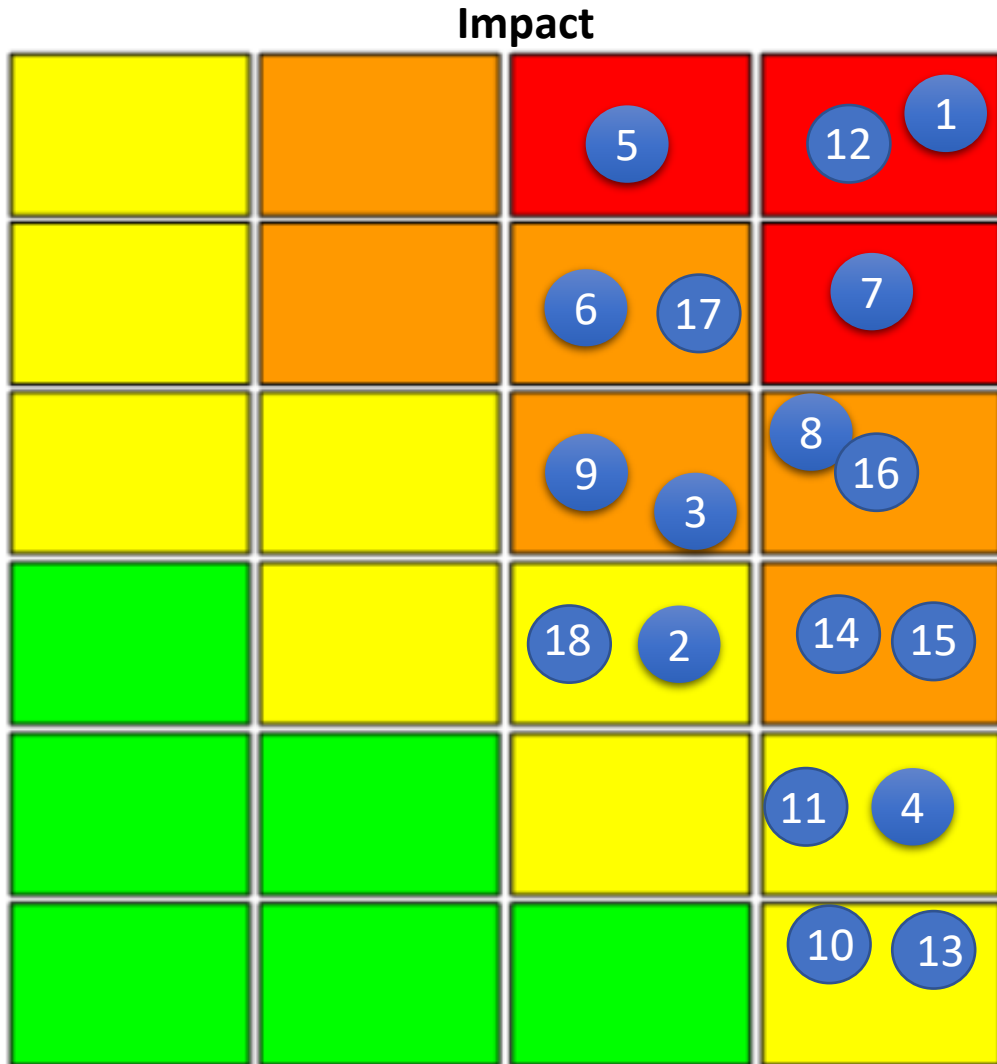


**Appendix A - Corporate Risk Register**  
6 September 2022

<b>Current Assessment</b>	<b>Very High</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
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31

**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	Climate Emergency
9	Information Governance & Cyber Security
10	Major Emergency Response (e.g. Pandemic)
11	High Needs Block overspend
12	Health & Social Care Reform
13	Adult Safeguarding
14	Children's Safeguarding
15	Inward migration
16	Public Transport
17	Education Provision Mainstream
18	Electoral Reform* <span style="float: right;">*New risk</span>

## **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, 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

Owner

Change

1

### RISK: Budget and financial resilience

ISD

GE

Increase

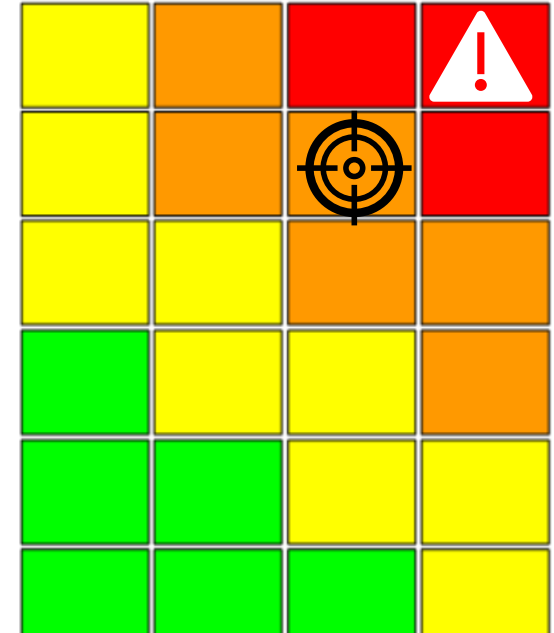
Due to increased costs (including inflation), loss of income, increased cost of borrowing or non-realisation of forecast savings and increased demand for services due to the cost of living there is a risk that the Council is unable to finance its current services resulting in a reduction in reserves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

#### Existing Controls:

33

- 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

#### Mitigating Actions

Mitigating Actions	Owner	Date
Work on in-year budget and following year budget pressures	GE	Oct 22
Organisational Foundation Programme delivery of savings	GE	Feb 23
Action plans to implement Internal and External Audit findings	GC	March 2023
Ongoing lobbying prior to Dec 22 announcement on three-year settlement	GE	December 2022

## Key Priority at Risk: Community Vision

2

### RISK: Corporate Governance

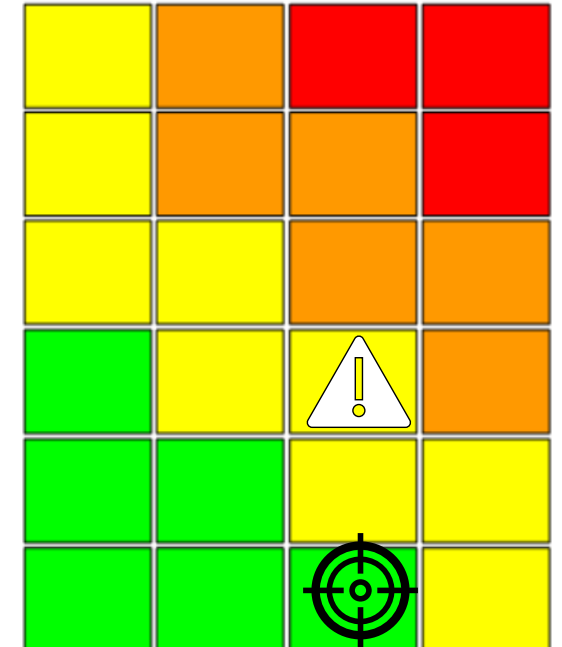
Governing effectively to ensure achievement of the Council’s purpose and priorities within the resources available and achieving value for money. Without effective corporate governance, there is a risk that through unethical behaviour or ineffective decision-making, residents lose trust in the way the 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 & External Audit
- Standards Committee
- Overview & Scrutiny function
- Local Government Association (LGA) Corporate Peer Challenge
- Governance Dashboard

34

Owner		Change
CJ	SP	Decrease



⚠ Current Risk    🎯 Target    ✅ Risk on Target

#### Mitigating Actions

LGA Corporate Peer Review action plan implementation and follow up visit

Owner

SP

Date

October 22

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

3

### RISK: Workforce

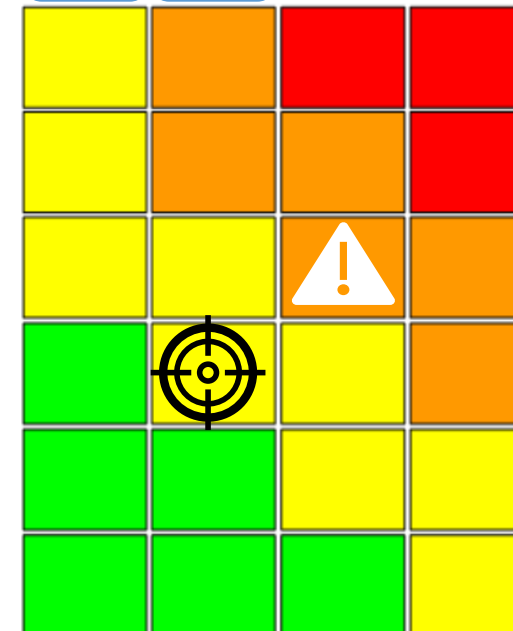
Due to the national challenges in recruiting permanent staff with the right levels of skills, competence and experience, there is a risk to the council's ability to deliver its community vision, which could, if not managed lead to fines and reputational risks

#### 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	
RBF	SP	None	



Warning Current Risk Target Risk on Target

35

Mitigating Actions	Owner	Date
HR policy review	SP	Dec 2022
Fully populated HR operating model	SP	November 2022
HR & OD Strategy	SP	Dec 2022
Procurement of HR Management Information System & <b>Organisational Foundation</b>	SP	Q4, 2022/23

## 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

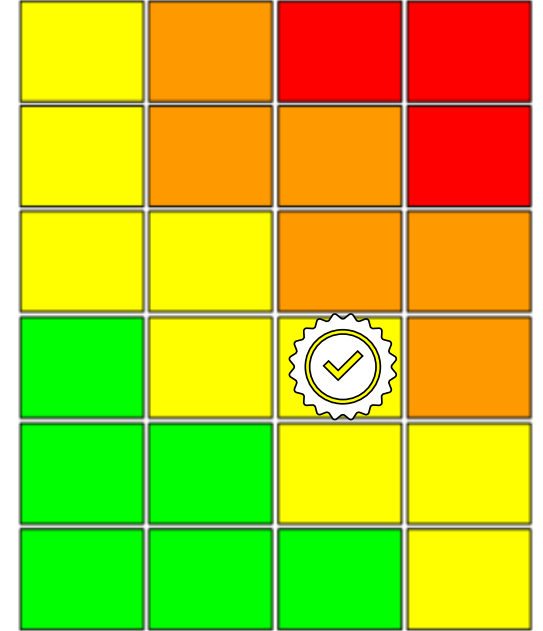
Owner

Change

LF

SM

None



⚠ Current Risk    🎯 Target    ✅ Risk on Target

36

#### 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: Enriching Lives & Safe, strong communities

Owner

Change

5

RISK: Insufficient local provision of education for Children with SEND

PB

HW

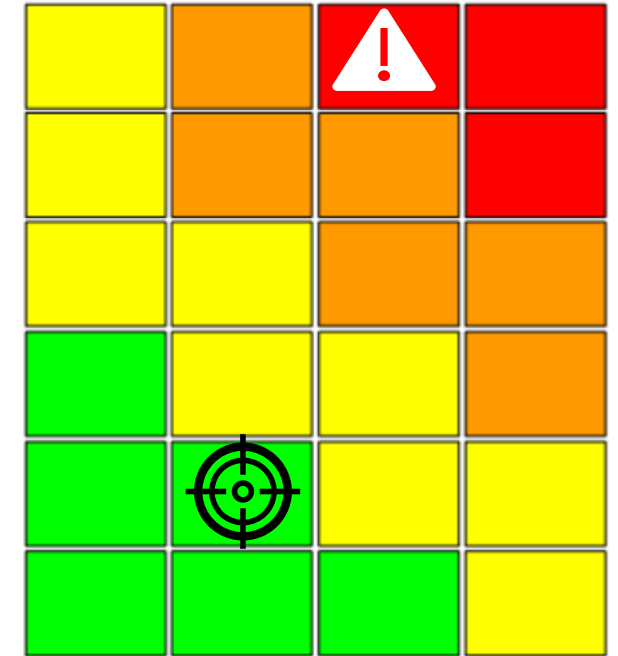
None

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:

- Regular review of SEND Strategy
- SEND Improvement Board
- Collaboration with SEND Voices & SENDIASS Wokingham
- Monitoring and Forecasting of Need and Demand

- Improved relationships with providers



⚠ Current Risk    🎯 Target    ✅ Risk on Target

37

Mitigating Action	Owner	Date
Development of in borough infrastructure for Children and Young People with SEND	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
- H&S Quarterly Dashboard

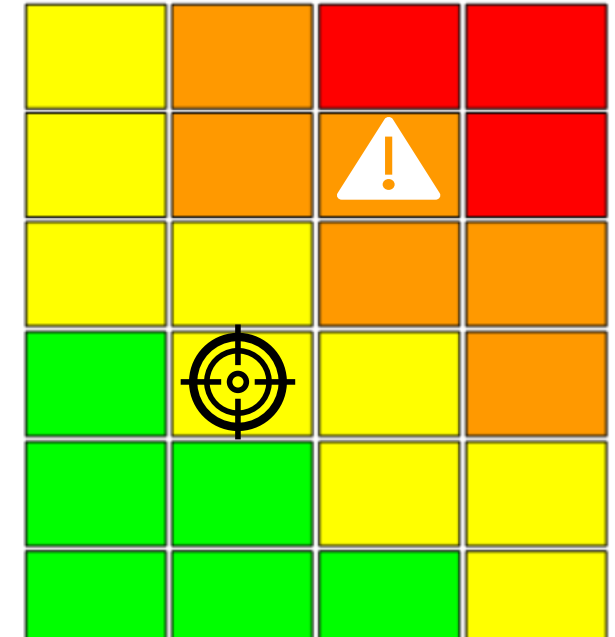
Owner

Change

RBF

SP

None



! Current Risk    Target    Risk on Target

38

#### Mitigating Action

Owner

Date

Implementation of the strategic safety improvement action plan

SP

April 23

Equalities Risk Mitigation Actions detailed in the Equalities Programme Risk Register

SW

Feb 23



## 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:

39

- Care Capacity Tracker monitoring and targeted action taken as required
- Lobbying of MPs and Government
- Workforce Strategy finalised and workstreams in place to implement the identified actions

- Recruitment campaign (Every day is different)
- Quarterly provider forums
- Early warning flags identified for key providers

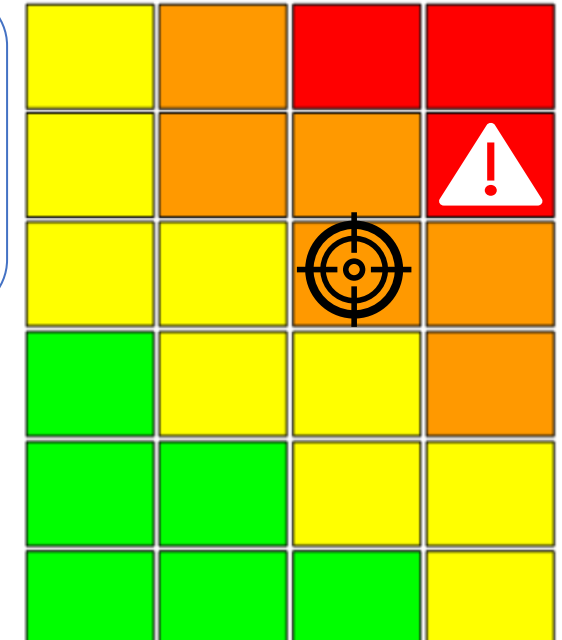
Owner

Change

DH

MP

None



Warning Current Risk Target Risk on Target

#### Mitigating Action

Continue to work with the sector to ensure that commissioning arrangements are fit for purpose

Owner

Date

MP

Mar-23

Planning for 2022-23 winter pressures underway

MP

Nov-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

Market sustainability plan

MP

Feb 23

Objective at Risk: A clean and green borough

Owner

Change

8

Climate Emergency

SK

SM

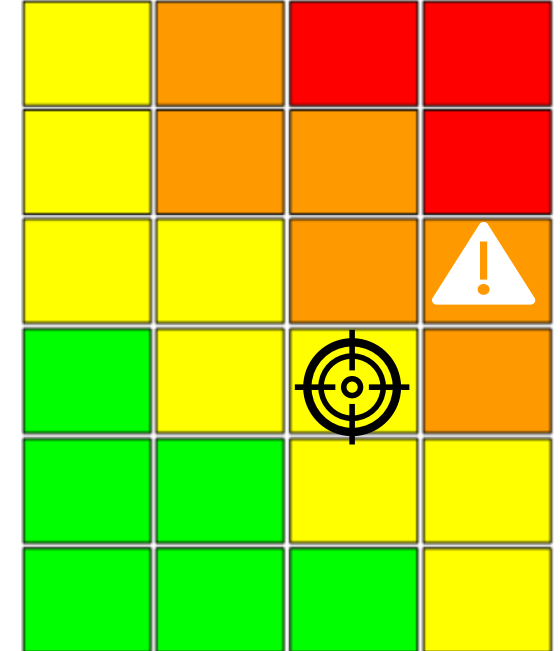
None

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
- Internal Audit completed



Warning Current Risk Target Risk on Target

40

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

Owner

Change

9

### Information Governance and Cyber Security

ISD

GE

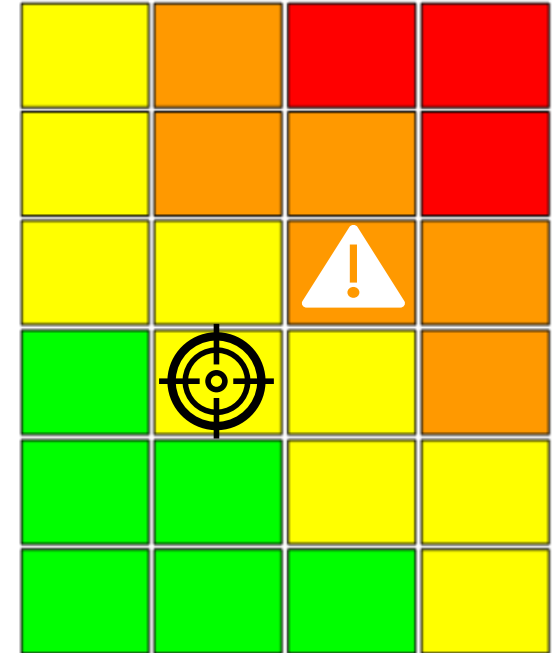
Increase

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



Warning Current Risk Target Risk on Target

41

Mitigating Action	Owner	Date
Transparency Data Review	AM	Sept 22
Simulated phishing attack	SW	Oct 22
National Cyber Security Centre Board Toolkit review	AM	Dec 22

## Objective at Risk: Safe, Strong Communities

10

### 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

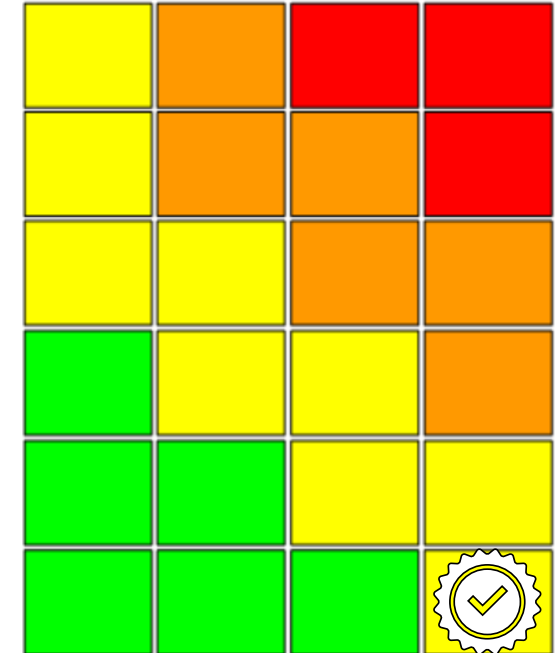
Owner

Change

CJ

SP

Decrease



⚠ Current Risk    🎯 Target    ⚙️ Risk on Target

42

#### Mitigating Action

Owner

Date

None currently required

-

-

## Objective at Risk: Enriching Lives

11

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 £10m+ resulting in a significant impact on reserves and budget pressures.

### Existing Controls:

- Deficit Reduction Plan
  - Expansion of Addington School
  - The Oak Tree School (Opening Sep '23)
  - PRU improvement

43

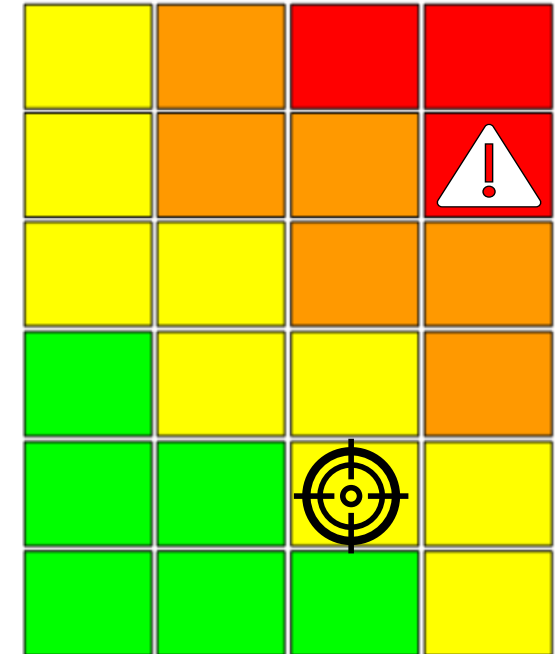
Owner

Change

ST

HW

Decrease



Warning Current Risk Target Risk on Target

### Mitigating Action

Draft Management Plan Submitted to ESFA ahead of commencing negotiations in line with Safety Valve methodology

Owner

HW/ST

Date

Ongoing

Resource Base Review in progress

HW/ST

December 22

Repurposing of Farley Hill Site (with Addington School) with interim arrangements with other schools to meet immediate demand

HW/ST

June 23

2 x Special Free School Bids

HW/ST

March 23

## Objective at Risk: Enriching Lives

12

### Health & Social Care Reform

Due to the 'People at the heart of care' reforms that come into force from 2022, and a funding change to follow in 2023, and number of self-funders in the borough 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:

Liaising with central government and professional organisations (i.e ADASS and LGA).

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.

Review of Directorate Transformation Programme to incorporate requirements.

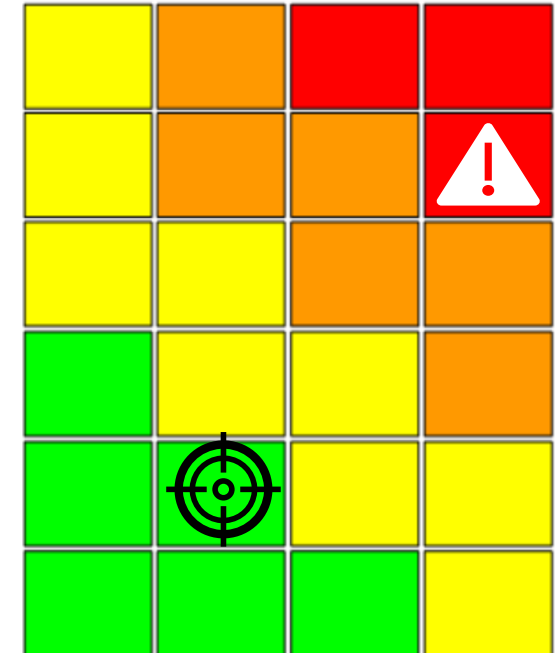
Owner

Change

DH

MP

None



⚠️ Current Risk    🎯 Target    ✅ Risk on Target

44

#### Mitigating Action

Programme in place to implement the reforms in preparation for commencement in October 23.

Owner

MP

Date

Mar 23

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

13

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

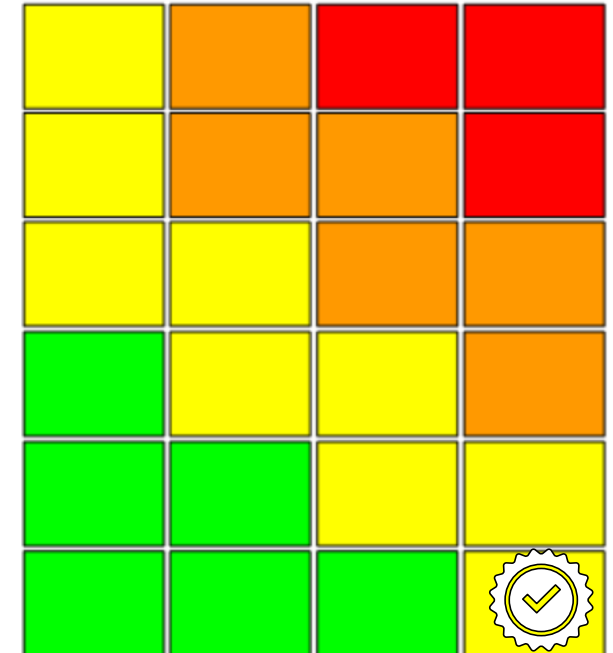
Due to insufficient capability/capacity, there is the risk that the Council does not meet its safeguarding responsibilities for adults leading to avoidable harm, litigation, fines and reputational damage.

#### 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

45

Mitigating Action	Owner	Date
Ensure workforce development around bespoke safeguarding are addressed	MP	Mar 23
Implement QAF for Safeguarding	MP	Mar 23
Impacts of impending CQC inspections incorporated into project planning	MP	Mar 23

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

14

### 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 Learning & Development
- Case Reviews & Audits
- Policies and Procedures
- Practice Framework
- Staff Supervision
- Quality Assurance Framework
- Recruitment & Retention Programme

- Monitoring demand & caseloads, ensuring swift review of staffing needs
- Manageable case loads
- AYSE recruitment programme
- Additional Assistant Team Managers to support supervision
- Practice consultants / assistants
- OFSTED informed action plan to improve service delivery

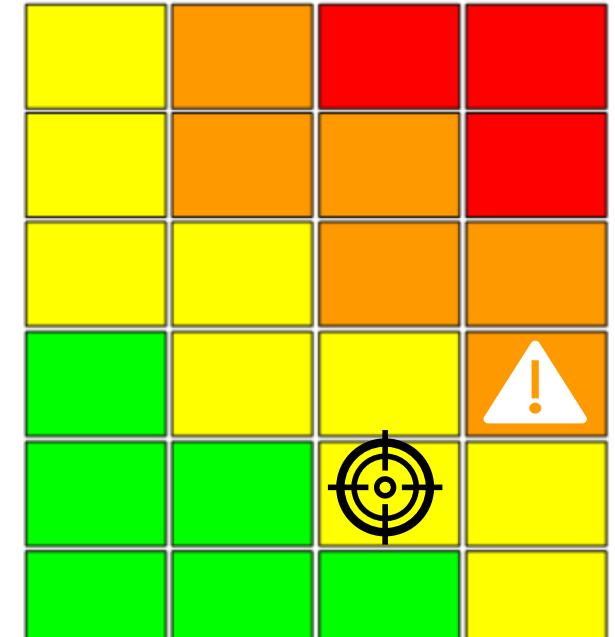
Owner

Change

PB

HW

None



! Current Risk    Target    ✓ Risk on Target

46

#### Mitigating Action

Owner

Date

Continuous Improvement Programme (CIP) for Children's Services

HW

December 22

Recruitment and Retention programme to recruit a permanent workforce

HW

April 23



## Key Priority at Risk: Safe, Strong Communities

15

### Inward Migration

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

#### Existing Controls:

47 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  
Contingency arrangements in place to prevent and respond to relationship breakdown between hosts and guests.  
Links established with Ukraine Centre in Reading.  
Co-produced social inclusion and activity programme with voluntary sector.

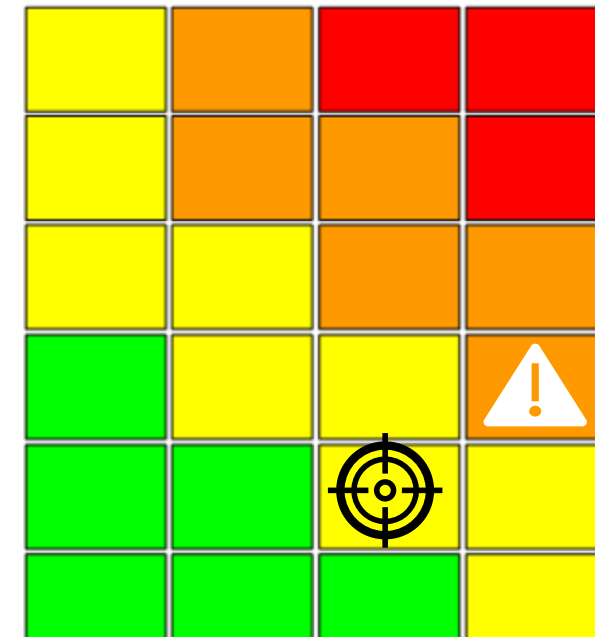
Owner

Change

RBF

SM

None



Warning Current Risk Target Risk on Target

#### Mitigating Action

Owner

Dat

Govt have updated regulations to enable rematching. Only 2 households in TA.

ZM

Sept 2022

Implementation of social inclusion and activity events planned in coming months.

ZM

Ongoing

Ongoing work with Health and vol sector partners. Vol sector partnership work ongoing and thriving.

ZM

Ongoing

Key Priority at Risk: Keeping the Borough Moving, Clean & Green Borough

16 Public Transport

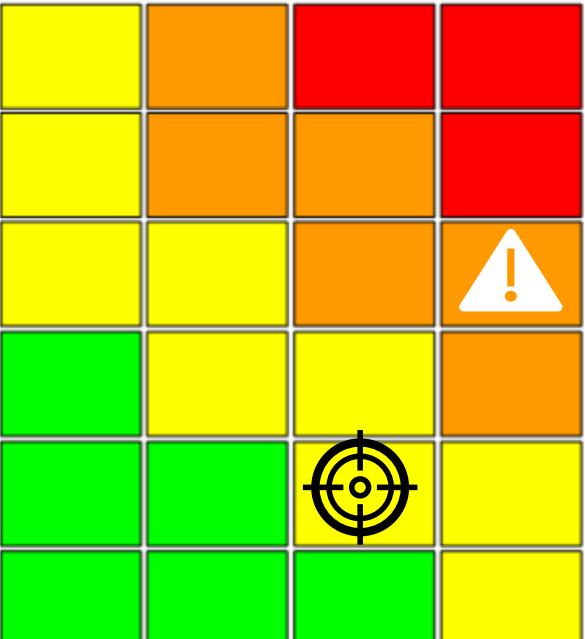
Due to fewer passengers travelling, increasing operational costs and a future reduction in government funding there is a risk that local bus services are withdrawn or reduced. The results will be increasing congestion, social isolation, a failure to achieve climate emergency reduction targets, and reduced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

Existing Controls:

- Revised local bus services to better match demand for travel with service provision, where possible from 5th September.
- Short-term S106 contingency funding released through emergency IEMDs.

- Government funding now extended until March 2023. Officers working on retendering the network for April 2023, which will include a full EqIA and budget consideration.

Owner		Change
PF	SM	None



Warning Current Risk Target Risk on Target

Mitigating Action	Owner	Date
Retender of local bus network	SM	April 23

## Key Priority at Risk: Enriching Lives

### 17 RISK: Insufficient school places for mainstream and children with SEND

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), and lack of early years SEND provision, there is a risk of a breach in statutory place sufficiency duty.

#### Existing Controls:

- Primary Strategy 2018 to 2028
- Secondary Strategy 2022
- SCAP annual statutory places return to DfE (will include SEND from 2023)
- Annual update of roll projections

- Regular reports to CSO&SC
- Regular item at BEP meetings
- SEND provision strategy
- Regular reports to Schools Forum

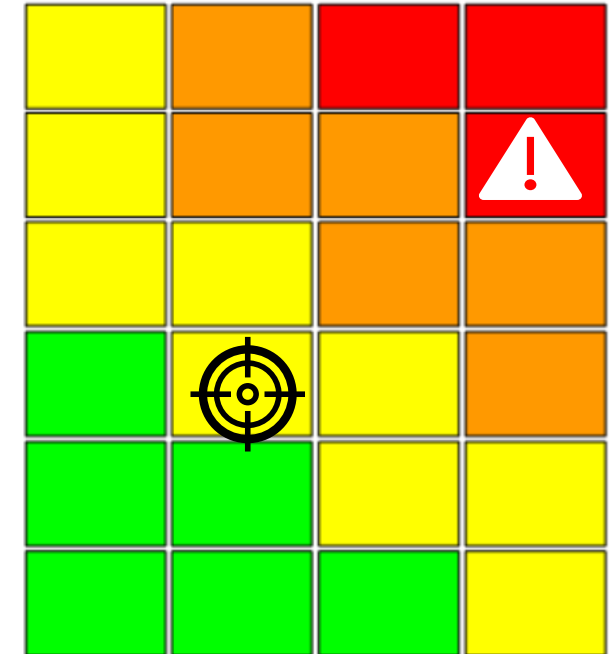
Owner

Change

PB

HW

None



Warning icon Current Risk Target icon Target Risk on Target icon Risk on Target

49

Mitigating Action	Owner	Date
Secondary place strategy school level expansion plans being delivered	HW	Ongoing
2023 roll projection update	HW	June 2023
Primary Places Strategy update	HW	Autumn 2022

Key Priority at Risk: All

18

RISK: Elections Act Implementation Uncertainty

Due to delays to the government voter id scheme (January 2023) and lack of clarity on disabled access requirements introduced by the Elections Act 2022 there is a risk of significant unknown new administrative burdens for the May 2023 elections risking delays to voting, disenfranchisement of voters, breach of duty, legal challenge, and reputational damage.

Existing Controls:

- Engagement with Association of Electoral Administrators
- Government funding of voter id
- One Council approach prepared to mobilise wider Council resources and capacity once requirements are known

50

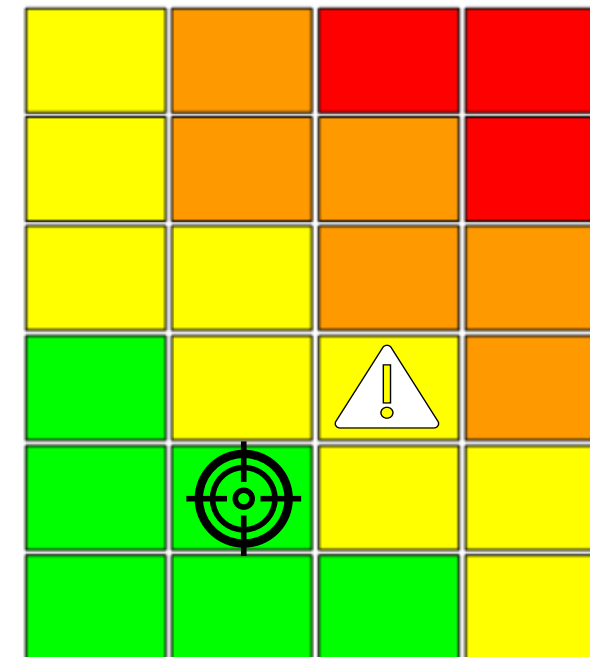
Owner

Change

CJ

GE

New



Warning Current Risk Target Risk on Target

Mitigating Action	Owner	Date
Engagement with Electoral Commission on guidance	AM	Dec 2022
Monitoring of national voter id scheme implementation and mobilise Council wide response once clear on local impacts	AM	Ongoing
Develop Communication plan for hard-to-reach groups	AM	Dec 2022