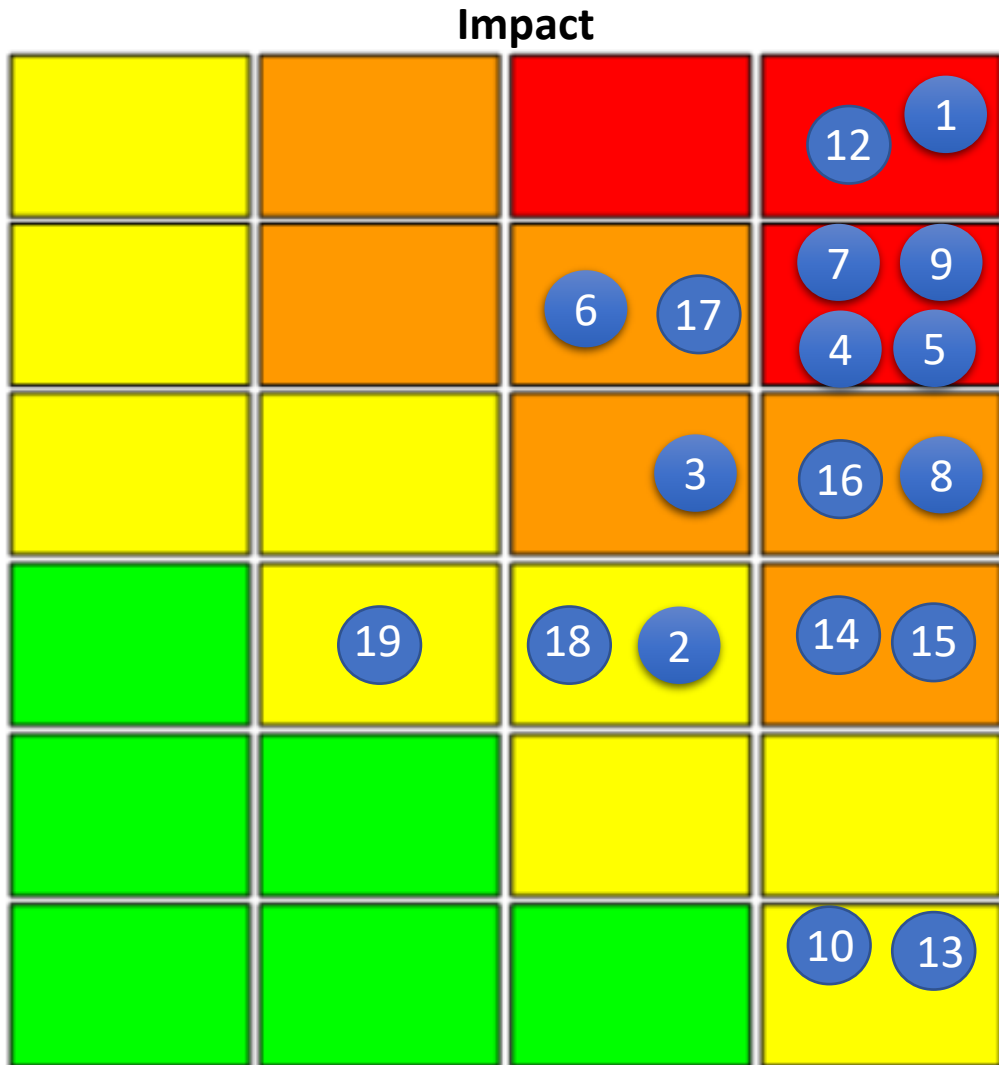


Appendix A - Corporate Risk Register
November 2022

Current Assessment	Very High	High	Medium	Low
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27

Likelihood



Ref	Risk
1	Budget & Financial Resilience
2	Corporate Governance
3	Workforce
4	Uncontrolled Development (Local Plan Update)
5	Outcomes & Costs for Children with SEND
6	Failure to meet statutory duties
7	ASC Supplier Sustainability and Sufficiency
8	Cyber Attack
9	Climate Emergency
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
19	Information Governance

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

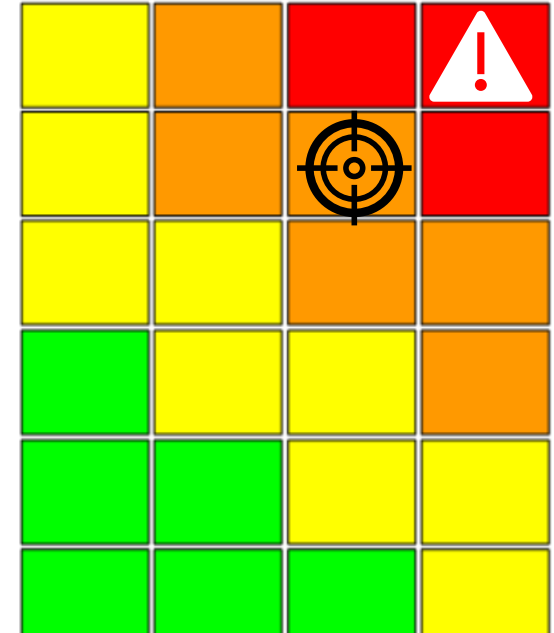
Increase

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:

- 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

29

Mitigating Actions

Work on in-year budget and following year budget pressures

Owner

Date

GE

October 22

Organisational Foundation Programme delivery of savings

GE

February 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 Audit
- External Audit
- Standards Committee
- Overview & Scrutiny function
- LGA Corporate Peer Challenge
- Governance Dashboard

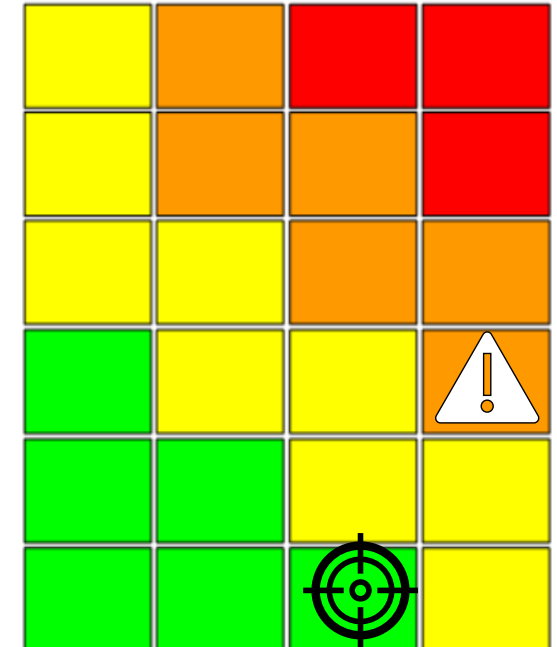
Owner

Change

CJ

SP

None



Warning Icon Current Risk Target Risk on Target

Mitigating Actions

LGA Corporate Peer Review action plan implementation and follow up visit

Owner

Date

SP

October 22

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

3

RISK: Workforce

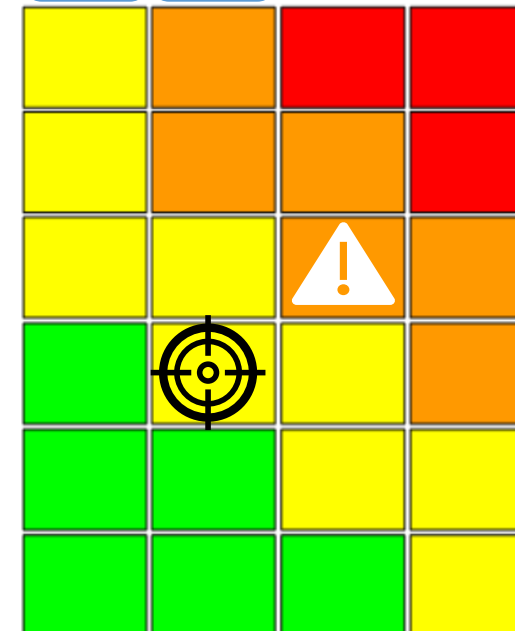
Due to the national challenges in recruiting permanent staff with the right levels of skills, competence and experience, there is a risk to the council's ability to deliver its community vision, which could, if not managed lead to fines and reputational risks

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



Current Risk
 Target
 Risk on Target

31

Mitigating Actions

Engage with stakeholders to undertake HR policy review with implementation and training programme set up to support review

Owner	Date
-------	------

SP	End March 23
----	--------------

Fully populated HR operating model with everyone in post.

SP	End Jan 23
----	------------

Engagement with stakeholders to write the HR & OD Strategy

SP	Dec 2022
----	----------

Procurement of HR Management Information System

SP	End March 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.

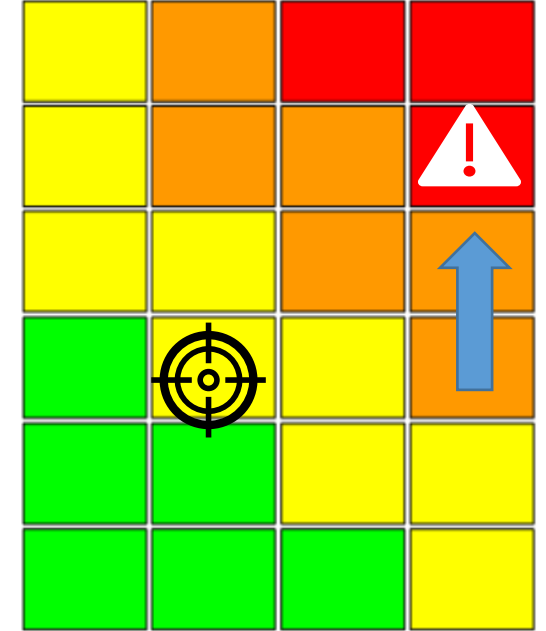
Existing Controls:

- Timetable for adoption of new Local Plan in place but needs to be reviewed
- Resources allocated
- Cross party planning policy working group reconstituted following election of new administration

- Revised growth strategy consulted upon in November 2021 – January 2022
- Monitoring housing developments and five year land supply

Owner Change

LF SM Increase



⚠ Current Risk 🎯 Target ✅ Risk on Target

32

Mitigating Actions/Key Milestones	Owner	Date
Local plan timetable to be reviewed	TS	Early 2023
Next local plan consultation stage	TS	Summer 2023
Submission of Local Plan Update to Government	TS	TBC
Inspector examination	TS	TBC
Adoption of LPU	TS	TBC

Key Priority at Risk: Enriching Lives & Safe, strong communities

5

RISK: Outcomes and Costs of Provision for Children with SEND

Due to increased demand and complexity of need there is a risk that there are insufficient funds to ensure Children with SEND receive adequate provision without further overspend on the High Needs Block (£10m+) risking a substantial impact on the Council's finances.

Existing Controls:

- Regular review of SEND Strategy
- Collaboration with SEND Voices & SENDIASS Wokingham
- Monitoring and Forecasting of Need and Demand
- Gold & Silver Monitoring and Direction Meetings Weekly
- Learning from engagement with other Local Authorities (Safety Valve and DBV)

- Improved relationships with providers
- Weekly meetings with DfE SEND Advisor
- Deficit Reduction Plan
 - Expansion of Addington School
 - Winnersh Farm School (Oak Tree)
 - PRU improvement
 - Resource Base & SEND Unit review
 - Additional School Bids (x2)
- SEND Improvement Board

33

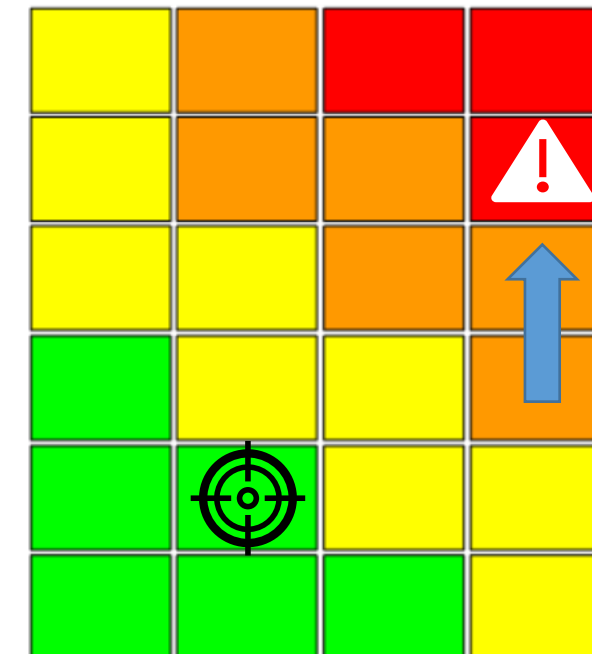
Owner

Change

PB

HW

None



Warning Current Risk Target Risk on Target

Mitigating Action	Owner	Date
Development of in-borough infrastructure for Children and Young People	HW	Ongoing
Engagement with DfE Safety Valve Programme development & delivery	HW	April 2023
SEND System Improvements as a result of SEND IIB	HW	Ongoing
SEN Support arrangements and new Vulnerable Learners Panel Pilot	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

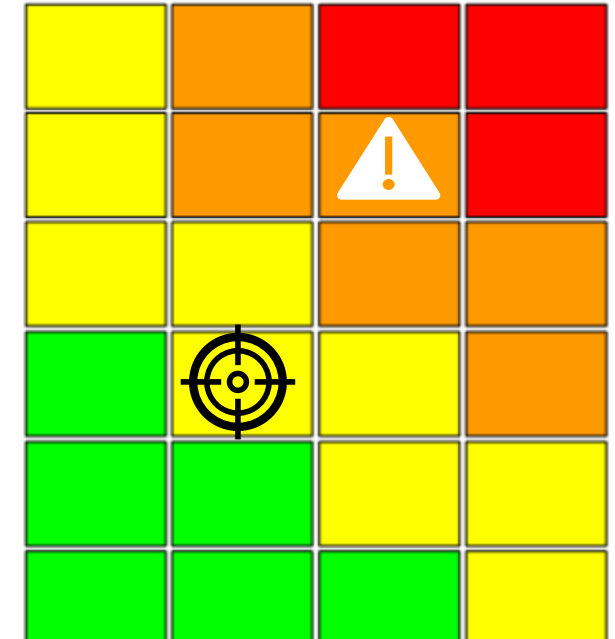
Owner

Change

RBF

SP

None



Warning Current Risk Target Risk on Target

34

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

February 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:

35

- 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

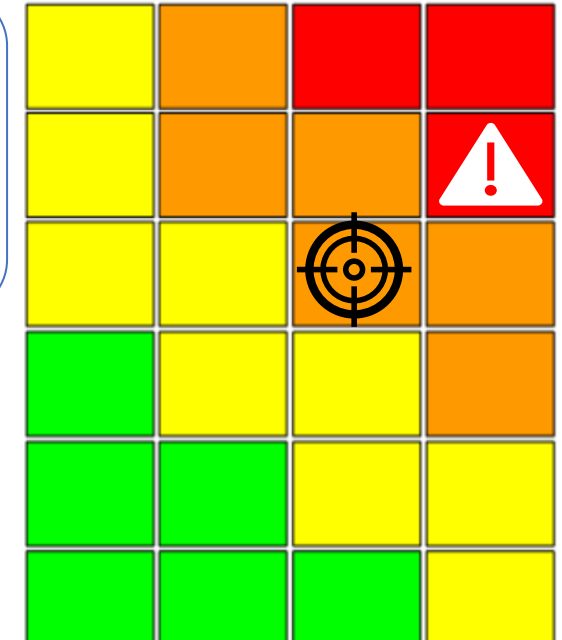
Owner

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

March 23

Planning for 2022-23 winter pressures underway

MP

November 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

March 23

Market sustainability plan

MP

February 23

Objective at Risk: A clean and green borough

Owner

Change

8

Climate Emergency

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

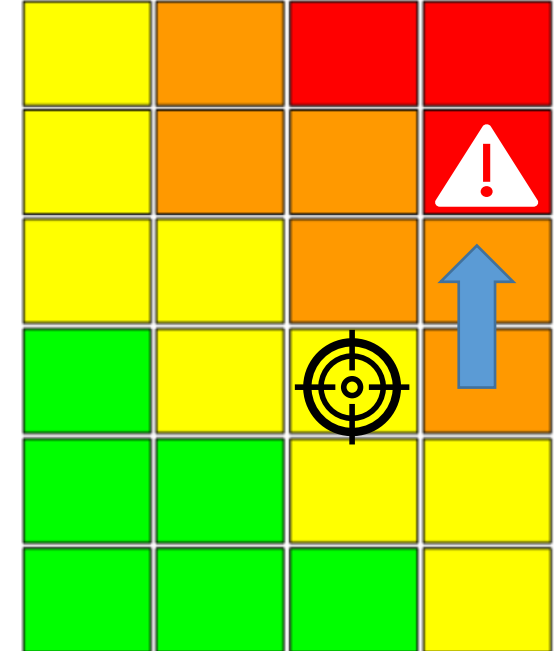
Existing Controls:

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

SK

SM

Increase



⚠️ Current Risk 🎯 Target ✅ Risk on Target

36

Mitigating Action	Owner	Date
Deliberative Process	RH	March 23
Energy Strategy	RH	December 22
Climate Change adaptation plan	RH	April 23

Objective at Risk: Community Vision

Owner

Change

9

Cyber Security

ISD

GE

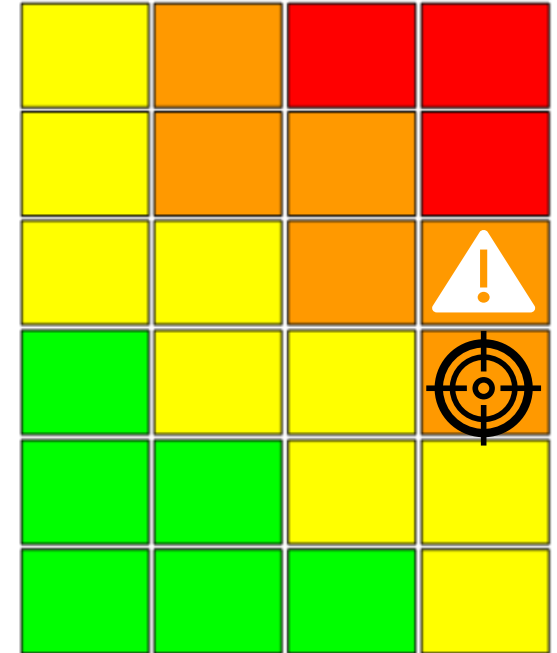
Increase

Due to an external cyber attack there is a risk of 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 BCP
- Public Sector Network (expires 2024)
- Independent penetration testing (annual)
- Information Security and Acceptable Use Policy
- Encrypted and patched equipment
- Cyber security awareness campaign

- Internal Data and Information Governance Board
- Routine & Emergency patching and firewall configuration (increased frequency)
- Internal Audit
- Membership of the South East Warning Advisory Group



Current Risk
 Target
 Risk on Target

37

Mitigating Action	Owner	Date
Simulated phishing attacks	SW	December 22
National Cyber Security Centre Board Toolkit review	AM	December 22
Cyber incident plan and cyber response partner	SW	May 23
Internal Audit Action Plan	SW	June 23
Cyber Essentials Plus Accreditation	SW	January 24

Objective at Risk: Safe, Strong Communities

10

Major Emergency Response (e.g. 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:

- 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
- Seasonal business continuity training and plan updates
- Delivering training for gold, silver and bronze

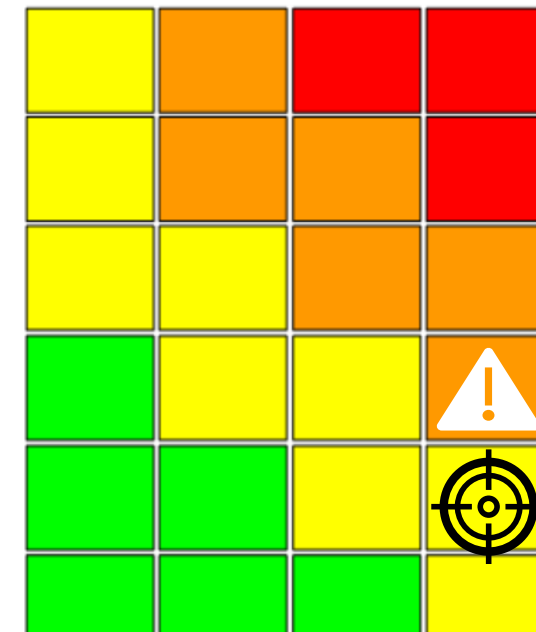
Owner

Change

CJ

SP

Increase



Current Risk Target Risk on Target

38

Mitigating Action

Owner

Date

Review of the organisation's out of hours arrangements and resilience

FH

December 2022

Silver command restructure

FH

February 2023

Winter preparedness working group (including preparing for planned or unplanned loss of power)

FH

Ongoing until Spring 2023

Reviewing key emergency plans (including major incident plan)

FH

Spring 2023

Creation and implementation of revised business continuity programme

FH

Autumn 2023

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.

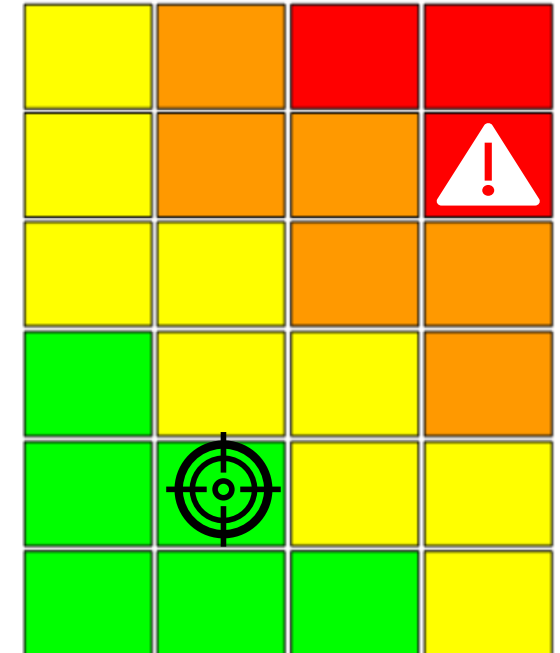
Owner

Change

DH

MP

None



Warning Current Risk Target Risk on Target

39

Mitigating Action

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

Owner

Date

MP

March 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. There is risk associated with the change in legislation for Liberty Protection Safeguards (LPS) as the plans have not yet been confirmed and the demands on the system are not yet fully known.

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
- Care Governance Quality Assurance
- Risk Assessment for Safeguarding complete
- Joint working between HoS and PSW
- Quality Assurance Framework in place

Owner		Change
DH	MP	None

Yellow	Orange	Red	Red
Yellow	Orange	Orange	Red
Yellow	Yellow	Orange	Orange
Green	Yellow	Yellow	Orange
Green	Green	Yellow	Yellow
Green	Green	Green	Green with checkmark icon

 Current Risk
  Target
  Risk on Target

40

Mitigating Action	Owner	Date
Ensure workforce development around bespoke safeguarding are addressed	MP	March 23
Impacts of impending CQC inspections incorporated into project planning	MP	March 23

Key Priority at Risk: Safe, Strong Communities

15

Inward Migration

Due to the arrival of Ukraine and Hong Kong nationals, refugees from other countries, and the now mandatory National Transfer Scheme for Unaccompanied Asylum Seeking Children (UASC), there is a risk of increasing costs to the Council of provision of effective support, including a significant increase in the cost of statutory accommodation for Care Leavers as UASCs reach the age of 18.

Existing Controls:

41

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.
 Ensure all grants are claimed for UASC

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.

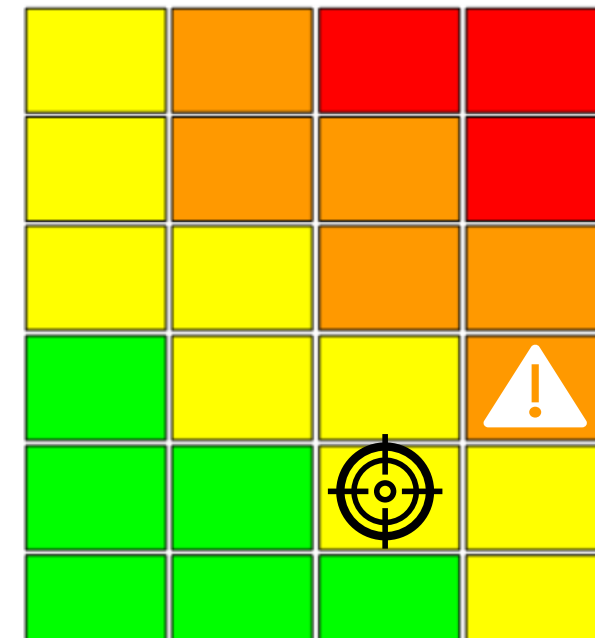
Owner

Change

RBF

SM

None



Warning Current Risk Target Risk on Target

Mitigating Action

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

Implementation of social inclusion and activity events programme

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

Develop specific accommodation to meet the needs of UASC Care Leavers

Owner

Dat

ZM

September 2022

ZM

Ongoing

ZM

Ongoing

HW

Ongoing

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

16 Public Transport

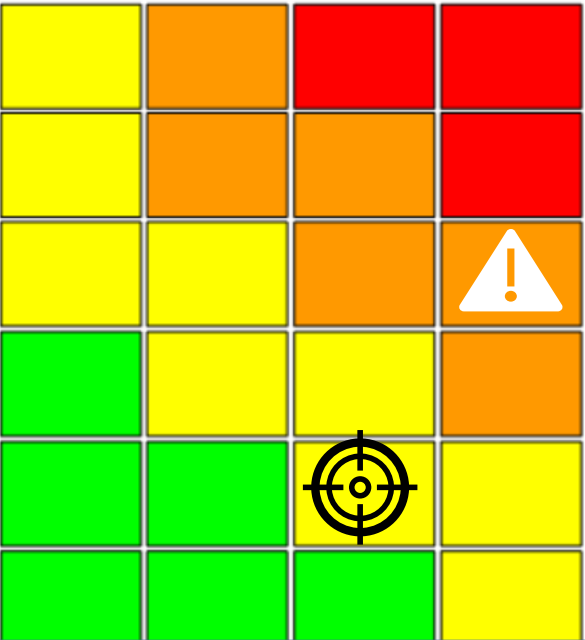
Due to fewer passengers travelling, increasing operational costs and a future reduction in government funding there is a risk that local bus services are withdrawn or reduced. The results will be increasing congestion, social isolation, a failure to achieve climate emergency reduction targets, and reduced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

42

Key Priority at Risk: Enriching Lives

17

RISK: Insufficient school places for mainstream children

Due to (a) increased numbers of children moving into the borough including international arrivals (Hong Kong nationals and Ukrainian children) in both primary and secondary phases; (b) peak primary rolls passing into the secondary sector; and (c) too few places for girls (secondary phase) there are risks of (i) a breach in statutory place sufficiency duty and (ii) new capital programme requirements.

Existing Controls:

- Primary Strategy 2018 to 2028
- Secondary Strategy 2022
- Development of Post 16 arrangements
- SCAP annual statutory places return to DfE
- Annual update of roll projections
- Regular reports to CSO&SC
- Regular Leadership Team updates

- Fair Access Protocol
- Regular item at BEP meetings
- Regular meetings with Finance team
- Engagement with schools on additional places
- Relationships with neighbouring boroughs
- Portal based admissions tracking (LA and Schools)

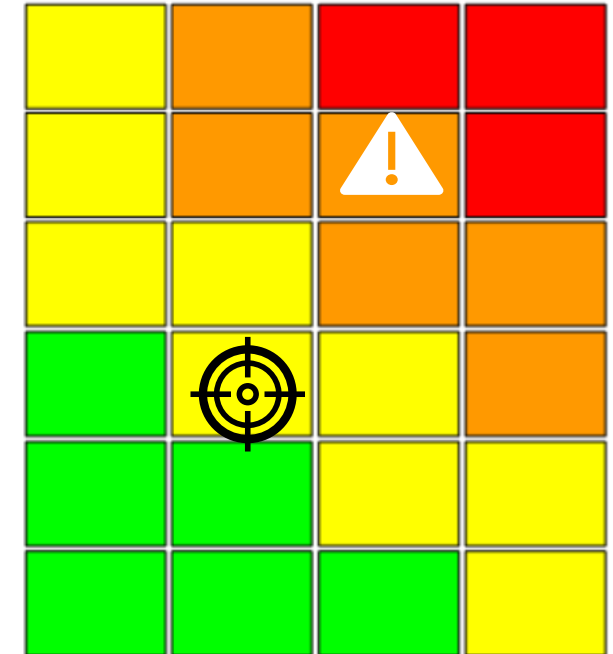
Owner

Change

PB

HW

None



Warning Current Risk Target Risk on Target

43

Mitigating Action	Owner	Date
Secondary place strategy school level expansion plans in preparation	HW	Ongoing
Primary Places Strategy update	HW	Spring 2023
Engagement with Schools on additional places (above PAN)	HW	Ongoing

Key Priority at Risk: All

18

RISK: Elections Act Implementation Uncertainty

Due to the delays to the government id scheme (January 2023) and lack of clarity on disabled access requirements introduced by the Elections Act 2020 there is a risk of significant unknown new administration burdens for the May 2023 election resulting in delays to voting, disenfranchisement of voters, breach of duty, legal challenge, reputational damage, Borough and/or Town Councils without democratic legitimacy and re-run of elections.

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

44

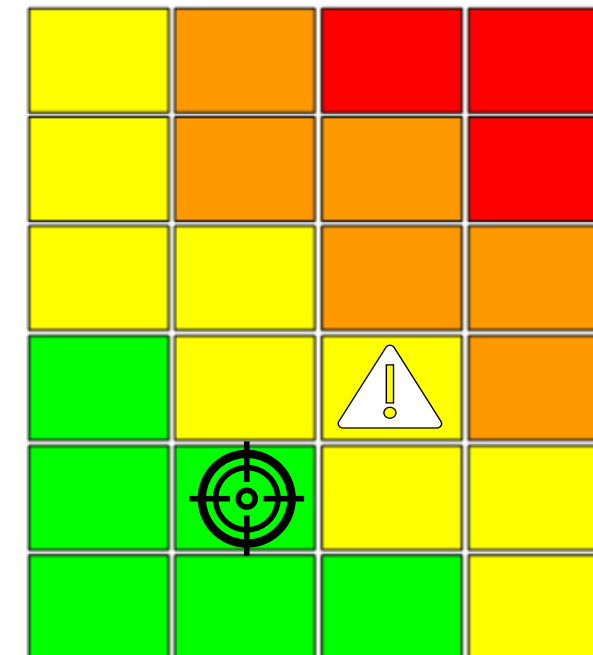
Owner

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

Objective at Risk: Community Vision

19

Information Governance

Due to human error, there is a risk of disclosure of personal sensitive data, resulting in individual distress, fines, reputational damage and loss of trust. Due to insufficient capability or capacity there is a risk that the high number of Subject Access Requests (SARs) in children's services continue to not be responded to in statutory timescales, resulting in litigation, fines, reputational damage and loss of trust.

Existing Controls:

- Internal Data and Information Governance Board
- Encrypted equipment
- Secure email
- Document marking scheme
- Information Security and Acceptable Use Policy
- E-learning induction/staff learning and development

- Performance Monitoring
- Incident Reporting
- Membership of Berkshire DPO Group
- Information Governance Toolkit
- Publication Scheme
- Guidance from the ICO
- SAR Policies and Procedures
- Monitoring SAR Caseloads
- Reporting into CS Directorate Leadership Team

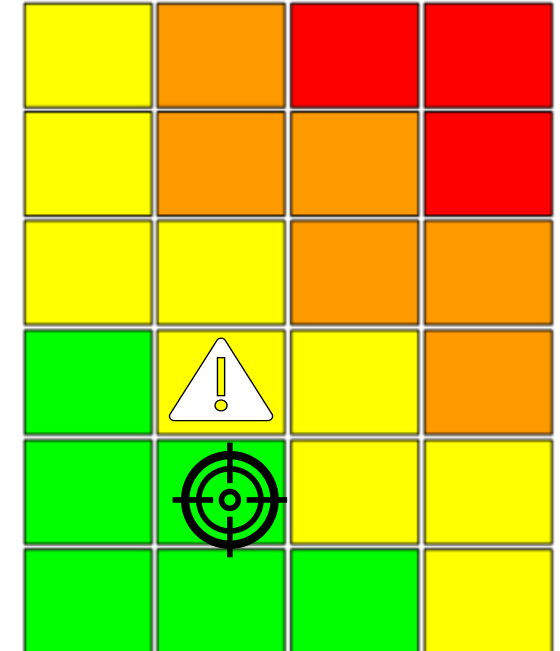
Owner

Change

ISD

GE

Increase



Warning Icon Current Risk Target Risk on Target

45

Mitigating Action	Owner	Date
E-learning Refresher Training	AM	December 2022
Information Security & Acceptable Use Policy update	AM	March 2023
Commissioning of external redaction service	HW	Complete
Recruitment of Reviewing and Redacting Officer (FTC)	HW	Complete
Consideration of demand management opportunities to reduce SAR requests	HW	March 2023

Likelihood

Score	Level					Description
6	Very High	Certain.	>95%	Annually or more frequently	>1 in 10 times	An event that has a 50% chance of occurring in the next 6 months or has happened in the last year. This event has occurred at other local authorities
5	High	Almost Certain. The risk will materialise in most circumstances.	80 – 94%	3 years +	>1 in 10 – 50 times	An event that has a 50% chance of occurring in the next year or has happened in the past two years.
4	Significant	The risk will probably materialise at least once.	50 – 79%	7 years +	>1 in 10 – 100 times	An event that has a 50% chance of occurring in the next 2 years or has happened in the past 5 years.
3	Moderate	Possible the risk might materialise at some time.	49 – 20%	20 years +	>1 in 100 – 1,000 times	An event that has a 50% chance of occurring in the next 5 or has happened in the past 7 years.
2	Low	The risk will materialise only in exceptional circumstances.	5 – 19%	30 years +	>1 in 1,000 – 10,000 times	An event that has a 50% chance of occurring in the next 10 year or has happened in the past 15 years.

Impact

Score	Level		Description
8	Critical	Critical impact on the achievement of objectives and overall performance. High impact on costs and / or reputation. Very difficult and possibly long term to recover.	<ul style="list-style-type: none"> Unable to function without aid of Government or other external Agency Inability to fulfil obligations Medium - long term damage to service capability Severe financial loss – supplementary estimate needed which will have a critical impact on the council’s financial plan and resources are unlikely to be available. Death Adverse national publicity – highly damaging, severe loss of public confidence. Litigation certain and difficult to defend Breaches of law punishable by imprisonment
6	Major	Major impact on costs and objectives. Serious impact on output and / or quality and reputation. Medium to long term effect and expensive to recover.	<ul style="list-style-type: none"> Significant impact on service objectives Short – medium term impairment to service capability Major financial loss - supplementary estimate needed which will have a major impact on the council’s financial plan Extensive injuries, major permanent harm, long term sick Major adverse local publicity, major loss of confidence Litigation likely and may be difficult to defend Breaches of law punishable by fines or possible imprisonment
4	Marginal	Significant waste of time and resources. Impact on operational efficient, output and quality. Medium term effect which may be expensive to recover.	<ul style="list-style-type: none"> Service objectives partially achievable Short term disruption to service capability Significant financial loss - supplementary estimate needed which will have an impact on the council’s financial Medical treatment require, semi- permanent harm up to 1 year Some adverse publicity, need careful public relations High potential for complaint, litigation possible. Breaches of law punishable by fines only
2	Negligible	Minimal loss, delay, inconvenience or interruption. Short to medium term affect.	<ul style="list-style-type: none"> Minor impact on service objectives No significant disruption to service capability Moderate financial loss – can be accommodated First aid treatment, non-permanent harm up to 1 month Some public embarrassment, no damage to reputation May result in complaints / litigation Breaches of regulations / standards

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