

## READING BOROUGH COUNCIL

TO:	AUDIT & GOVERNANCE COMMITTEE		
DATE:	25 January 2018	AGENDA ITEM:	5
TITLE:	Corporate (Strategic) Risk Register		
LEAD COUNCILLOR:	COUNCILLOR STEVENS	PORTFOLIO:	FINANCE
SERVICE:	FINANCE	WARDS:	N/A
LEAD OFFICER:	PAUL HARRINGTON	TEL:	9372695
JOB TITLE:	CHIEF AUDITOR	E-MAIL:	<a href="mailto:Paul.Harrington@reading.gov.uk">Paul.Harrington@reading.gov.uk</a>

### 1. EXECUTIVE SUMMARY

- 1.1 This report covers the update of the Strategic Risk Register, in the proposed new format which is still at an embryonic stage and includes additional information on unmitigated risk and risk appetite scores.
- 1.2 The Register is presented to the Council's Audit & Governance Committee a minimum of six monthly or quarterly in the case of any risks where the position has worsened or for residual red risks where the Audit & Governance Committee shows a particular interest. It was last presented to the Committee in July 2017.
- 1.3 The following documents are appended:  
  
Appendix 1 - the Council's Corporate (Strategic) Risk Register.

### 2. RECOMMENDED ACTION

- 2.1 Consider the Council's strategic risks as at of Dec 17 (end of Q3).
- 2.2 To provide feedback on the new format and completeness of risks and scores in the re-formatted Strategic Risk Register including risk appetite.

### 3. KEY ISSUES

- 3.1 Risk management is a key part of corporate governance. Good risk management will help identify and deal with key Strategic risks facing the Council in the pursuit of its goals and is a key part of good management, not simply a compliance exercise. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. They consist of an ongoing process designed to identify and address significant risks involved in achieving the Council's outcomes.
- 3.2 The Strategic Risk Register has been developed to provide a concise, focused and high level overview of Strategic risks that can be easily communicated to all staff, councilors and stakeholders (e.g. Council's Insurers). It should, however, always be supplemented by the more detailed directorate/service/project risk registers.
- 3.3 Although guidance is provided in relation to the scoring of risks, with a view to providing as much consistency as possible, it still remains very much a subjective process. The primary aim of the Strategic Risk Register is to identify those key vulnerabilities that CMT consider need to be closely monitored in the forthcoming months and, in some instances, years ahead. In many cases this will be because the risk is relatively new and, whilst being effectively managed, the associated control framework is yet to be fully defined and embedded. In such circumstances it follows that not only will the potential impact be large, but the risk of likelihood of occurrence could also be increased. Furthermore, it is possible that the likelihood can be influenced by events outside of the Council's control e.g. the economic climate and its impact on financial planning, or severe weather etc.
- 3.4 The format of the Risk Register had not been updated for some time. Advice from an external risk management consultant concluded that our arrangements were fit for purpose, but could be improved by identifying risk appetite. This is consistent with the Institute of Risk Management which advises that risk appetite should be identified for each risk. *Risk appetite is the amount of risk that an organisation is willing to seek or accepts in order to meet its long term objectives.*
- 3.5 Whilst mindful of the need to ensure risk management arrangements are proportionate, it is now appropriate to enhance the Register to better inform those responsible for managing the risks. The environment in which the Council operates has changed considerably in recent times and the organisation now faces significant financial pressures. The Council's transformation programme encompasses the response to risk moving forward. Risk mitigation will be limited by how much we have to spend. Members' and officers' appetite for the level of risk the Council is prepared to accept will by necessity have to increase accordingly. Under this new approach it is important that we determine risk appetite.

- 3.6 In response to this the Register has been re-formatted to include unmitigated and risk appetite scores and track scoring over time. The revised format was reviewed and approved by the Corporate Management Team.
- 3.7 Given the revised format identifies risk appetite for each individual risk, the previous colour coding of red, amber and green based on a single assessment of risk tolerance would be confusing and hence the analysis of red, amber and green will now be based on the extent of the gap between the current residual risk and the risk appetite.
- 3.8 In order to focus senior management and Member attention on areas of greatest risk, the Register should include only the key current risks that have not been mitigated down to the risk appetite level. Hence it is proposed that where risks have been rated as green for 2 or more consecutive quarters they should be removed from the Register. These can be re-instated should the risk rise again.
- 4. CONTRIBUTION TO STRATEGIC AIMS**
- 4.1 Regular review of the Strategic Risk Register is an integral part of effective risk management arrangements and corporate governance. Identifying risk appetite enables the Council to clarify the extent of risk mitigation required in order to achieve its strategic aims.
- 5. COMMUNITY ENGAGEMENT AND INFORMATION**
- 5.1 N/A
- 6. LEGAL IMPLICATIONS**
- 6.1 There are no specific legal implications arising from the recommendations in this report"
- 7. FINANCIAL IMPLICATIONS**
- 7.1 N/A
- 8. BACKGROUND PAPERS**
- 8.1 Appendix 1 - the Council's Corporate (Strategic) Risk Register.

<p><b>Risk 1: The council does not create and deliver a sustainable Medium Term Financial Plan and/or achieve a balanced budget.</b></p>		<p><b>Risk Owner:</b> Chief Executive /Director of Finance</p>																									
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 5</p> <p>Current Residual 5 x 5</p> <p>Appetite 4 x 2</p> <p><b>Potential Impact</b></p> <p><i>Strategic objectives and statutory duties not met. Council unable to set legal budget. Service or services failure</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Period</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>16/17 Q3</td> <td>25</td> <td>20</td> <td>8</td> </tr> <tr> <td>16/17 Q4</td> <td>25</td> <td>20</td> <td>8</td> </tr> <tr> <td>17/18 Q1</td> <td>25</td> <td>16</td> <td>8</td> </tr> <tr> <td>17/18 Q2</td> <td>25</td> <td>16</td> <td>8</td> </tr> <tr> <td>17/18 Q3</td> <td>25</td> <td>25</td> <td>8</td> </tr> </tbody> </table>	Period	Unmitigated	Residual	Appetite	16/17 Q3	25	20	8	16/17 Q4	25	20	8	17/18 Q1	25	16	8	17/18 Q2	25	16	8	17/18 Q3	25	25	8	<p><b>Rationale for current score:</b></p> <p>While the 2017/18 budget contingency is not fully committed, continuing pressures on the care services are cause for great concern. Strong control is required over all budgets especially considering the level of general balances. 2017/18 and predicted pressures in future years have made the 2018/19 budget and MTFS setting process challenging. Particularly there is a need to take early and robust action on longer term initiatives to ensure that the Council remains a going concern.</p> <p><b>Rationale for risk appetite</b></p> <p>Achieving a sustainable financial position is essential in order to be a going concern and deliver priorities. Careful planning is essential and the risk appetite is low.</p> <p><b>Current RAG rating</b> <span style="background-color: red; color: white; padding: 2px;">RED</span></p>	
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<p><b>Current Actions (What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>• Immediate action has been taken in 2017/18 to reduce the overspend.</li> <li>• Further developing the MTFS for the period 2018-2021, with very early actions for the later years being discussed with members</li> <li>• 2018/19 and 2019/20 budget assumptions and savings proposals being reviewed and new proposals are being developed.</li> <li>• Robust monitoring arrangements are continuing and will be used to carefully monitor the delivery of the savings proposals.</li> <li>• Corporate Performance Delivery Group meeting fortnightly to review performance and delivery</li> <li>• Early presentation of the overall budget and MTFS to the Policy Committee in January 2018 in order to seek approval for some actions and to evidence robust action.</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer (s) responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>2017/18 monitoring is showing pressure on the budget. Budget managers have proposed and are delivering mitigations for the remainder of the year.</td> <td>Corporate Directors</td> <td>March 2018</td> </tr> <tr> <td>Revision of 2018/19 budget and MTFS now commenced; will take account of any emerging pressures from 2017/18. Aim is to have MTFS supported by sustainable funding (not one-off) and savings measures throughout.</td> <td>Finance Director</td> <td>Feb 18</td> </tr> <tr> <td>Discussions with members about preparing the Council for the longer term future and the Council's capability and capacity to deliver current services in the current manner.</td> <td>Corporate Directors</td> <td>Feb 18</td> </tr> </tbody> </table>			Officer (s) responsible	Target date	2017/18 monitoring is showing pressure on the budget. Budget managers have proposed and are delivering mitigations for the remainder of the year.	Corporate Directors	March 2018	Revision of 2018/19 budget and MTFS now commenced; will take account of any emerging pressures from 2017/18. Aim is to have MTFS supported by sustainable funding (not one-off) and savings measures throughout.	Finance Director	Feb 18	Discussions with members about preparing the Council for the longer term future and the Council's capability and capacity to deliver current services in the current manner.	Corporate Directors	Feb 18												
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Risk 2: <i>Insufficient or lack of capable staff resources to deliver our services in an effective and efficient manner</i>		Risk Owner: Head of Legal / HR																				
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 4 x 5</p> <p>Current Residual 4 x 3</p> <p>Appetite 3 x 4</p> <p><b>Potential Impact</b></p> <p><i>Failure to meet demand. Statutory duties not met. Negative impact on staff motivation and stress related illness.</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Quarter</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>16/17 Q3</td> <td>20</td> <td>16</td> <td>12</td> </tr> <tr> <td>16/17 Q4</td> <td>20</td> <td>16</td> <td>12</td> </tr> <tr> <td>17/18 Q1</td> <td>20</td> <td>16</td> <td>12</td> </tr> <tr> <td>17/18 Q2</td> <td>20</td> <td>16</td> <td>12</td> </tr> </tbody> </table>	Quarter	Unmitigated	Residual	Appetite	16/17 Q3	20	16	12	16/17 Q4	20	16	12	17/18 Q1	20	16	12	17/18 Q2	20	16	12	<p><b>Rationale for current score:</b></p> <p>Managing delivery of ongoing services during a period of significant change with reduced staffing resources due to redundancy, retirement, sickness, staff resources diverted to the transformation programme and difficulties in recruiting to certain specialist posts</p> <p><b>Rationale for risk appetite</b></p> <p>In order to implement the Transformation Programme it will be necessary to reduce staffing levels and is accepted that will put pressure on managing and delivering services hence appetite is high...</p> <p>Current RAG rating <b>AMBER</b></p>
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<p><b>Current Actions</b><i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"> <li>• Ensure that managers are carrying out 1:1's, appraisal and team meetings at a local level</li> <li>• Chief Executive has issued a clear instruction that appraisals must have been completed by March 2018.</li> <li>• Staff to again be reminded of HR guidance on stress management and about the Employee Assistance Programme.</li> </ul>	<p><b>Further Mitigation</b> (what more should we do to reduce risk to our risk appetite level) and opportunities</p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>CMT to review and develop cultural and organisational change programme. This will need to be properly resourced and communicated</td> <td>CMT</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Officer responsible	Target date	CMT to review and develop cultural and organisational change programme. This will need to be properly resourced and communicated	CMT															
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## Reading Borough Council Strategic Risk Register Q3

<p><b>Risk 3: Information created, accessed, handled, stored, protected and destroyed by the Council and its service areas is not managed in compliance with legislation or local policies. Council services do not fully understand or manage the risks such non-compliance involves therefore not making informed, risk based decisions.</b></p>		<p><b>Risk Owners:</b> Head of Legal/ Head of Customer Services</p>																									
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 5 x 3</p> <p>Appetite 3 x 2</p> <p><b>Potential Impact</b></p> <p><i>Fines/penalties, reputation damage, service failure.</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Period</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>16/17 Q3</td> <td>20</td> <td>20</td> <td>6</td> </tr> <tr> <td>16/17 Q4</td> <td>20</td> <td>20</td> <td>6</td> </tr> <tr> <td>17/18 Q1</td> <td>20</td> <td>20</td> <td>6</td> </tr> <tr> <td>17/18 Q2</td> <td>20</td> <td>15</td> <td>6</td> </tr> <tr> <td>17/18 Q3</td> <td>20</td> <td>15</td> <td>6</td> </tr> </tbody> </table>	Period	Unmitigated	Residual	Appetite	16/17 Q3	20	20	6	16/17 Q4	20	20	6	17/18 Q1	20	20	6	17/18 Q2	20	15	6	17/18 Q3	20	15	6	<p><b>Rationale for current score:</b></p> <p>The likelihood remains high as incidents tend to be due to human errors rather than weakness in control. Fines are increasing, hence potential impact remains high.</p> <p><b>Rationale for risk appetite</b></p> <p>In addition to the financial risk, financial penalties are now very high, hence the Council will seek to minimise the risk of these being incurred.</p>	
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<p><b>Current Actions</b><i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"> <li>Ongoing corporate training programme for data protection, raising awareness with staff groups of the need to handle personal data securely and properly. Data Protection Training is mandatory for all staff.</li> <li>GDPR Project team established and working towards GDPR compliance so as to avoid large penalties and fines.</li> <li>Due to a staff resignation, two new Information Governance Officers are to be appointed, one permanent and one fixed term for one year. This will bolster the team at a time when the demand from the organisation for advice and support is increasing.</li> </ul>		<p><b>Further Mitigation</b> <i>(what more should we do to reduce risk to our risk appetite level) and opportunities</i></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Need to test application of training by officers and monitor both the effectiveness and that the right staff handling sensitive data is prioritised.</td> <td>CMT</td> <td>May 18</td> </tr> <tr> <td>Need identified to update data protection suite of policies and to monitor awareness of the procedures and steps to take in response to breach.</td> <td>CMT</td> <td>May 18</td> </tr> <tr> <td>GDPR introduces increased fines and data subjects' legal right to compensation. The latter is likely to create a spawn of litigation that will be very costly and labour intensive to manage, plus reputational damage</td> <td>CMT</td> <td>May 18</td> </tr> </tbody> </table>			Officer responsible	Target date	Need to test application of training by officers and monitor both the effectiveness and that the right staff handling sensitive data is prioritised.	CMT	May 18	Need identified to update data protection suite of policies and to monitor awareness of the procedures and steps to take in response to breach.	CMT	May 18	GDPR introduces increased fines and data subjects' legal right to compensation. The latter is likely to create a spawn of litigation that will be very costly and labour intensive to manage, plus reputational damage	CMT	May 18												
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<p><b>Risk 4: The Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal process</b></p>		<p><b>Risk Owners:</b> Head of Legal/ Director of Finance</p>																	
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 4 x 3</p> <p>Appetite 3 x 2</p> <p><b>Potential Impact</b></p> <p><i>Breach of Officer or Member code of conduct. - Breach of Information Security or Governance or Confidentiality leading to Information Commissioner review. - Ombudsman, Ofsted, External Audit, Care Quality Commission. Legal challenge from those who interact with the Council</i></p>		<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Quarter</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>17/18 Q1</td> <td>16</td> <td>12</td> <td>6</td> </tr> <tr> <td>17/18 Q2</td> <td>16</td> <td>12</td> <td>6</td> </tr> <tr> <td>17/18 Q3</td> <td>20</td> <td>12</td> <td>6</td> </tr> </tbody> </table>		Quarter	Unmitigated	Residual	Appetite	17/18 Q1	16	12	6	17/18 Q2	16	12	6	17/18 Q3	20	12	6
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		<p><b>Rationale for current score:</b></p> <p>While controls are in place, they are not always being followed. Work by the Due Diligence Group is having an impact in improving processes, training and policies. Reporting to Committee is ongoing to assure members that action is being taken.</p> <p><b>Rationale for risk appetite</b></p> <p>A Council should be a model of propriety and control to ensure confidence in its handling of public assets. Hence the likelihood of non-compliance should be at a minimal level. Good governance underpins all work to achieve the Council's targets</p>																	
		<p>Current RAG rating <b>AMBER</b></p>																	
<p><b>Current Actions (What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>Follow up on Audit Recommendations to ensure that they are all dealt with fully so that systems, processes and compliance are improved.</li> <li>The current induction programme for new members of staff to include guidance to certain key governance policies (including the Code of Conduct);</li> <li>Staff code of conduct to be issued with contracts of employment</li> <li>Strategic risk register to be kept up to date and reviewed promptly.</li> <li>Roll out of net consent for policy management.</li> <li>Risk management training completed for Heads of Service &amp; Directors</li> <li>Full review of Strategic Risk Register undertaken Nov 17.</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Employee code of conduct to be refreshed and relaunched. Declarations, gifts/hospitalities procedures &amp; processes to be reviewed/updated &amp; relaunched.</td> <td>Head of HR</td> <td>Dec 17 (Complete)</td> </tr> <tr> <td>All budget holders to complete training on budget management - majority in Nov 2017 with sweep-up in Feb/Mar 2018</td> <td>Director of Finance</td> <td>Nov 17 + Feb/Mar 18</td> </tr> <tr> <td>Refreshed anti-fraud and an anti-money laundering policy corruption statement</td> <td>Chief Auditor</td> <td>Feb 18</td> </tr> <tr> <td>Local Code of Corporate Governance for RBC to be updated to conform to CIPFA/SOLACE guidelines.</td> <td>Policy Officer</td> <td>Mar 18</td> </tr> </tbody> </table>			Officer responsible	Target date	Employee code of conduct to be refreshed and relaunched. Declarations, gifts/hospitalities procedures & processes to be reviewed/updated & relaunched.	Head of HR	Dec 17 (Complete)	All budget holders to complete training on budget management - majority in Nov 2017 with sweep-up in Feb/Mar 2018	Director of Finance	Nov 17 + Feb/Mar 18	Refreshed anti-fraud and an anti-money laundering policy corruption statement	Chief Auditor	Feb 18	Local Code of Corporate Governance for RBC to be updated to conform to CIPFA/SOLACE guidelines.	Policy Officer	Mar 18	
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## Reading Borough Council Strategic Risk Register Q3

<b>Risk 5: failure of major contract causes financial, service delivery, legal and H&amp;S issues which directly impact the Council - (Care Homes, Home Care, ICT, OOH Call Handling, EDS etc)</b>		<b>Risk Owners: Corporate Management Team</b>										
<b>Risk Rating (Impact x Likelihood)</b> Unmitigated 5 x 4 Current Residual 4 x 3 Appetite 3 x 3 <b>Potential Impact</b> Disruption to services. Failure to meet statutory duties	<p>17/18 Q3</p>	<b>Rationale for current score:</b> Increasing pressure on children's/adults social care due to changing demographics.										
		<b>Rationale for risk appetite</b> Tolerance is relatively low due to knock on effect on service delivery										
		Current RAG rating	AMBER									
<b>Current Actions (What we are currently doing about the risk)</b> <ul style="list-style-type: none"> <li>Providers are required to have a business continuity plan in addition where the provider is not an RBC run service the plans of each independent provider are checked as part of the ASC contract monitoring procedures.</li> <li>Currently re-rendering for contracts with the voluntary sector.</li> <li>Agreed a Section 75 for the Better Care Fund</li> <li>Council Wide Business Continuity Plan to reflect critical functions.</li> <li>Key contracts are monitored on a regular basis as part of the contract performance mechanisms in place for all contractors. This should address any capacity or performance issues that might indicate that there may be issues with financial/general viability</li> <li>Financial assessments of tenderers undertaken for all major contracts let by the Council and annual financial assessment checks where appropriate for major contractors</li> <li>To raise profile of having effective contract management in place</li> </ul>		<b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>The ASC provider failure protocol has recently been updated and will be approved by 28.2.18</td> <td>Head of ASC</td> <td>Feb 18</td> </tr> <tr> <td>Continue to develop the Reading Integration Board with all partners to secure opportunities to support vulnerable people in the community</td> <td>Head of ASC</td> <td>Ongoing</td> </tr> </tbody> </table>			Officer responsible	Target date	The ASC provider failure protocol has recently been updated and will be approved by 28.2.18	Head of ASC	Feb 18	Continue to develop the Reading Integration Board with all partners to secure opportunities to support vulnerable people in the community	Head of ASC	Ongoing
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## Reading Borough Council Strategic Risk Register Q3

<p><b>Risk 6: Failure to invest in the future, results in economic growth declining in Reading. - (Land use planning, private sector working/partnership, investment in infrastructure)</b></p>		<p><b>Risk Owners:</b> Director of Environment &amp; Neighbourhood Services</p>																
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 4 x 4</p> <p>Current Residual 3 x 2</p> <p>Appetite 2 x 2</p> <p><b>Potential Impact</b> <i>Declining growth in Reading will present less job opportunities and a likely decline or stagnating incomes/living standards.</i></p>	<table border="1"> <caption>Risk Rating Data for 17/18 Q3</caption> <thead> <tr> <th>Category</th> <th>Rating</th> </tr> </thead> <tbody> <tr> <td>Unmitigated</td> <td>16</td> </tr> <tr> <td>Residual</td> <td>6</td> </tr> <tr> <td>Appetite</td> <td>4</td> </tr> </tbody> </table>	Category	Rating	Unmitigated	16	Residual	6	Appetite	4	<p><b>Rationale for current score:</b></p> <p>Reading's (and the wider Thames Valley) economy remains relatively buoyant but will potentially be negatively affected by wider economic trends, including the impact of Brexit. The Council's role in creating the right conditions for growth is however significant.</p> <p><b>Rationale for risk appetite:</b></p> <p>the economic success of the town is critical to quality of life and also has an inherent link to demands on Council services as well as income.</p>								
Category	Rating																	
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Residual	6																	
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<p><b>Current Actions</b><i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"> <li>A33 MRT schemes underway - phases 1 &amp; 2 delivered, phases 3 &amp; 4 due for completion end 2019. (Future phases subject to funding).</li> <li>Green Park station project - works due to commence in March 2018 with station opening in Summer 2019</li> <li>Cow Lane Bridges widening - Work underway, scheduled to be re-open to 2 way traffic Summer 2019.</li> <li>East MRT - Scheme development ongoing with planning application due to be decided in Summer 2018. Subject to planning the scheme is due to be completed in 2021.</li> <li>Smart City Cluster Project - A 1.73million grant has been obtained to create an Internet of Things communication platform to gather and distribute data such as an environmental and traffic information.</li> <li>The Council is preparing a new Local Plan in order to set out how Reading will develop up to 2036 ensuring housing, economic, environmental and social needs are met.</li> <li>The full housing needs required up to 2036 cannot be delivered within the Borough. RBC is working with Councils within the Western Berkshire Housing Market Area through an agreed MoU to ensure that the full housing needs are accommodated.</li> <li>Joint work with Reading UK CIC to market and promote the town and proposals to expand the Business Improvement District to continue investment in a high quality town centre offer.</li> <li>Delivery of a comprehensive cultural programme to raise Reading's profile,</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>A project to install a 3<sup>rd</sup> Thames Bridge at East Reading at the base of the A329 is being worked up with neighbouring local Authorities. This would ease traditional bottlenecks at Reading and Caversham Bridges, also reducing Town centre congestion as traffic would no longer be required to travel from the A329 through the Town Centre to the current bridges</td> <td>Strategic Transport Programme Manager</td> <td>TBC - subject to funding</td> </tr> <tr> <td>Continue to develop a comprehensive network of sustainable travel choices, such as Park and Ride, enhanced public transport cycling and walking routes.</td> <td>Strategic Transport Programme Manager</td> <td>TBC - subject to funding</td> </tr> <tr> <td>Further develop delivery plans to achieve the 2050 vision and to secure additional resources linked to these plans building on 'Smart City' investment already secured.</td> <td>Head of Economic &amp; Cultural Dev.</td> <td>Ongoing</td> </tr> <tr> <td>Secure appropriate and high quality development / re-development of the Reading Prison site to enhance the attractiveness of the town centre / Abbey Quarter as a destination.</td> <td>Head of Planning, Dev. &amp; Regulatory Services</td> <td>TBC - subject to MoJ timing and plans</td> </tr> </tbody> </table>			Officer responsible	Target date	A project to install a 3 <sup>rd</sup> Thames Bridge at East Reading at the base of the A329 is being worked up with neighbouring local Authorities. This would ease traditional bottlenecks at Reading and Caversham Bridges, also reducing Town centre congestion as traffic would no longer be required to travel from the A329 through the Town Centre to the current bridges	Strategic Transport Programme Manager	TBC - subject to funding	Continue to develop a comprehensive network of sustainable travel choices, such as Park and Ride, enhanced public transport cycling and walking routes.	Strategic Transport Programme Manager	TBC - subject to funding	Further develop delivery plans to achieve the 2050 vision and to secure additional resources linked to these plans building on 'Smart City' investment already secured.	Head of Economic & Cultural Dev.	Ongoing	Secure appropriate and high quality development / re-development of the Reading Prison site to enhance the attractiveness of the town centre / Abbey Quarter as a destination.	Head of Planning, Dev. & Regulatory Services	TBC - subject to MoJ timing and plans
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## Reading Borough Council Strategic Risk Register Q3

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<p>including for inward investors, with this being a key shared endeavour with the Council, Reading UK and the University as key partners, including:</p> <ul style="list-style-type: none"><li>- Re-opening the Abbey Ruins to the public and as a venue for a range of events and activities;</li><li>- Further development of the Abbey Quarter, including significant investment in the Town hall &amp; Museum;</li><li>- Delivery of the three year 'Great Places' scheme, including a new annual Reading-on-Thames Festival.</li></ul>	
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<p><b>Risk 7: The Council doesn't take adequate mitigation to reduce the risk of injury or death from incidents within Council residential accommodation and private high rise within the borough</b></p>		<p><b>Risk Owners:</b> Director of Environment &amp; Neighbourhood Services</p>																											
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 5 x 2</p> <p>Appetite 4 x 1</p> <p><b>Potential Impact</b></p> <p><i>Death/Injury to individuals and/or non-compliance with relevant legislation</i></p>		<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Period</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>16/17 Q3</td> <td>16</td> <td>12</td> <td>5</td> </tr> <tr> <td>16/17 Q4</td> <td>16</td> <td>10</td> <td>5</td> </tr> <tr> <td>17/18 Q1</td> <td>16</td> <td>10</td> <td>5</td> </tr> <tr> <td>17/18 Q2</td> <td>16</td> <td>10</td> <td>5</td> </tr> <tr> <td>17/18 Q3</td> <td>20</td> <td>10</td> <td>4</td> </tr> </tbody> </table>		Period	Unmitigated	Residual	Appetite	16/17 Q3	16	12	5	16/17 Q4	16	10	5	17/18 Q1	16	10	5	17/18 Q2	16	10	5	17/18 Q3	20	10	4	<p><b>Rationale for current score:</b></p> <p>A significant amount of work has been undertaken and is underway (across the Council and Fire Service) following Grenfell Tower to address the issues raised by that incident. This has reduced the likelihood of a significant fire related incident but the impact remains high.</p> <p><b>Rationale for risk appetite</b></p> <p>The Council has a low appetite for injury or death to its residents /tenants. Considering that the impact of an incident is potentially death, the Councils residual risk score may never reach our appetite.</p>	
Period	Unmitigated	Residual	Appetite																										
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<p><b>Current Actions (What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>Detailed Housing Service action plan in place to track and monitor actions in respect of fire safety post Grenfell Tower. H&amp;S compliance monitoring reviewed and strengthened.</li> <li>Council 7x high rise housing blocks: post Grenfell Tower new 'intrusive' Fire Risk Assessments (FRAs) have been completed by a qualified external assessor - covering communal areas and sample of flats; RBFRS have visited all blocks; fire safety information sent to all tenants - visits to all over 65s completed Oct</li> <li>350 flatted blocks all have an FRA completed as of end December 2017.</li> <li>A block inspector regularly checks all blocks and housing officers are on site most days to ensure frequent monitoring. From this year every flat within the blocks will have their smoke alarm tested every year and tenants are encouraged to check them weekly.</li> <li>Across housing tenures, a total of 86 residential buildings over 18 meters in height have been identified within the Reading Borough Council administrative area including the 7 local authority blocks. The Royal Berkshire Fire and Rescue Service (RBFRS) have visited each one of these premises in order to review fire safety including an assessment of the external materials used on each block Regular liaison between RBFRS and RBC to ensure that interim measures are in place to manage properties where cladding is of a concern. Regular reporting to DHCLG.</li> <li>Corporate working group set up to review, agree and implement actions arising.</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>An independent external review of Housing fire safety measures and systems in high rise blocks and wider management practice has been commissioned. This will include Type 4 intrusive Fire Risk Assessments of sample high rise and other higher risk blocks. <i>Review completed - final report awaited - advice will inform commissioning of additional fire safety measures.</i></td> <td>Head of Housing/ N'hoods</td> <td>End Feb</td> </tr> <tr> <td>Additional private sector housing resource to be appointed following the agreement to sign to the MoU. Implementation of the MoU.</td> <td>Head of Planning Development and Regulatory Services.</td> <td>March 2018</td> </tr> </tbody> </table>			Officer responsible	Target date	An independent external review of Housing fire safety measures and systems in high rise blocks and wider management practice has been commissioned. This will include Type 4 intrusive Fire Risk Assessments of sample high rise and other higher risk blocks. <i>Review completed - final report awaited - advice will inform commissioning of additional fire safety measures.</i>	Head of Housing/ N'hoods	End Feb	Additional private sector housing resource to be appointed following the agreement to sign to the MoU. Implementation of the MoU.	Head of Planning Development and Regulatory Services.	March 2018																	
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## Reading Borough Council Strategic Risk Register Q3

Risk 8: Partnerships - Failure to develop and maintain key partner relationships results in failure to deliver key shared outcomes		Risk Owners: Corporate Management Team												
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 4 x 4</p> <p>Current Residual 4 x 3</p> <p>Appetite 3 x 3</p> <p><b>Potential Impact</b></p> <p><i>Community needs not met</i>  <i>Negative impact on community cohesion which could lead to extremism.</i>  <i>Increased risk of failure of voluntary sector umbrella support</i></p>	<p>17/18 Q3</p>	<p><i>Rationale for current score:</i></p> <p>A number of partnerships are embedded to secure strategic and operational outcomes.</p> <p><i>Rationale for risk appetite</i></p> <p>Appetite fairly low as the Council seeks to meet the needs of the community and maximise effectiveness and compliance with statutory requirements though working closely with key partners.</p> <div style="border: 1px solid black; padding: 5px; display: flex; justify-content: space-between; align-items: center;"> <span>Current RAG rating</span> <span style="background-color: yellow; padding: 2px 5px;"><b>AMBER</b></span> </div>												
<p><b>Current Actions (What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>Reading 2050 vision document was launched in October. This sets out a shared view of key priorities for the future of Reading. We will be working with partners across the town to identify the actions needed to deliver this vision.</li> <li>Community Safety Partnership - brings together the Council, Police and a wider range of partners and agrees clear joint strategic priorities with activity monitored through a number of delivery groups reporting to the partnership; regular and structured liaison is in place between RBC/Police at a range of tiers.</li> <li>Local Enterprise Partnership and joint working to influence investment in infrastructure, skills and private sector to support economic growth.</li> <li>Cultural Partnership and Cultural Education Partnership to drive delivery of a cultural renaissance and contribute to achieving priority social outcomes, including educational attainment, employment and employability, health and well-being (targeting more vulnerable groups / communities).</li> <li>One Public Estate Partnership - to oversee and implement shared property ambitions across the public estate.</li> <li>CSC - participation in statutory and strategic partnerships to include Local Safeguarding Board, Children's Trust Board, Children's Services Improvement Board, Health &amp; Wellbeing Board. Strategic Management Group (TVP)</li> </ul>	<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">Officer responsible</th> <th style="text-align: center;">Target date</th> </tr> </thead> <tbody> <tr> <td>Nominated leads for all statutory and strategic meetings and full participation in programme(s) of work</td> <td style="text-align: center;">AMD</td> <td style="text-align: center;">March 18</td> </tr> <tr> <td>Continue to develop the Reading Integration Board with all partners to secure opportunities to support vulnerable people in the community</td> <td style="text-align: center; color: yellow;">Action owner</td> <td style="text-align: center; color: yellow;">date</td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Officer responsible	Target date	Nominated leads for all statutory and strategic meetings and full participation in programme(s) of work	AMD	March 18	Continue to develop the Reading Integration Board with all partners to secure opportunities to support vulnerable people in the community	Action owner	date			
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<p><b>Risk 9 : Children's Company - Failure to make the successful transition to a viable independent local authority trading company to provide children's services</b></p>		<p><b>Risk Owners:</b> Head of Customer Care and Transformation</p>										
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 5 x 2</p> <p>Appetite 4 x 1</p> <p><b>Potential Impact</b></p> <p><i>Death/Injury to individuals and/or non-compliance with relevant legislation</i></p>	<table border="1"> <caption>Risk Rating Data for 17/18 Q3</caption> <thead> <tr> <th>Category</th> <th>Rating</th> </tr> </thead> <tbody> <tr> <td>Unmitigated</td> <td>20</td> </tr> <tr> <td>Residual</td> <td>10</td> </tr> <tr> <td>Appetite</td> <td>5</td> </tr> </tbody> </table>	Category	Rating	Unmitigated	20	Residual	10	Appetite	5	<p><i>Rationale for current score: The impact of not setting up the company given the direction from the DfE would be significant, potentially leading to the service moving to another Council. The risk is being mitigated via a robust governance process, engagement of specialist suppliers with a strong track record in this area and clearly identified internal work stream leads.</i></p> <p><i>Rationale for risk appetite: Given the nature of the task, it would be difficult to reduce the risk appetite. We will expect as the programme progresses that the risk would remain moderate.</i></p> <p><b>Current RAG rating</b> <span style="background-color: yellow; padding: 2px;">AMBER</span></p>		
Category	Rating											
Unmitigated	20											
Residual	10											
Appetite	5											
<p><b>Current Actions(What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>A robust governance structure has been put in place with the support of specialist support from Mutual Ventures who have been engaged to provide programme management and specific expertise and track record in setting up a Children's Company.</li> <li>The Council is reviewing its own capacity to set up the company and engaging specific additional resources where identified to ensure operational capacity.</li> <li>Work is being done to ensure the overall estimated cost of transition is as robust and accurate as possible to ensure that the grant requested from the government is sufficient and that we received the funds in a timely manner.</li> <li>A detailed and comprehensive programme plan is being developed to ensure that all the requirements of the new company are met and delivered to timescale.</li> <li>This is supported by detailed work stream plans which will be updated regularly.</li> <li>A risk register for the project has been developed to capture and assess all project risks by work stream. This document will be regularly reviewed and maintained as the project progresses. Identified mitigation activities will be added to the project plan.</li> <li>A Key Decisions document has been developed for the project. The purpose of this document is to act as a 'blue print' for all decisions required to set-up the company - capturing assumptions and in principle decisions to ensure project direction.</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Further work is being done to assure the government (DfE) on the level of funding required to set up the company, identifying as accurately as possible at this stage the funds required.</td> <td>Head of Customer Care &amp; Transformation</td> <td>Feb 2018</td> </tr> <tr> <td>Complete and regularly maintain the programme plan, detailed work stream plans, risk register, and Key Decisions document to identify and progress all required tasks, timelines and required resources - escalating sustained issues and risks to senior project stakeholders for mitigation decision-making</td> <td>Children's Company Project Lead</td> <td>28 February and ongoing to end of project</td> </tr> </tbody> </table>			Officer responsible	Target date	Further work is being done to assure the government (DfE) on the level of funding required to set up the company, identifying as accurately as possible at this stage the funds required.	Head of Customer Care & Transformation	Feb 2018	Complete and regularly maintain the programme plan, detailed work stream plans, risk register, and Key Decisions document to identify and progress all required tasks, timelines and required resources - escalating sustained issues and risks to senior project stakeholders for mitigation decision-making	Children's Company Project Lead	28 February and ongoing to end of project
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<p><b>Risk 10: Safeguarding - Risk of death harm or injury to vulnerable persons for whom we have a responsibility</b></p>		<p><b>Risk Owners:</b> Director of Adult &amp; Director of Children's</p>													
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 5 x 3</p> <p>Appetite 5 x 2</p> <p><b>Potential Impact</b></p> <p><i>Death or injury. Loss or reputation. Fines/ penalties. Insurance claims</i></p>	<p>17/18 Q3</p>	<p><b>Rationale for current score:</b></p> <p>Risk of death or serious injury</p> <p><b>Rationale for risk appetite</b></p> <p><i>Given the risk relates to the safeguarding of vulnerable individuals the risk appetite is low.</i></p> <p>Current RAG rating <b>AMBER</b></p>													
<p><b>Current Actions</b><i>(What we are currently doing about the risk)</i></p> <ul style="list-style-type: none"> <li>Safeguarding team continues to deliver training at L1. Workshops for all sectors of social care staff, learning lunches and attend team meetings. Levels 2 &amp; 3 face to face safeguarding training has been re commissioned with training dates throughout the year.</li> <li>20% of Safeguarding cases are audited each month using an audit tool agreed by the Safeguarding Adults Board.</li> <li>The Safeguarding Adults Board has a Safeguarding Adults Review group that reviews information submitted from the Local Authorities and Health Agencies to consider whether a Safeguarding Adult Review is required. Once a review is completed the learning is shared to prevent further incidents</li> <li>Service Improvement Plan in place to deliver service improvements across the whole of Children's Services reporting to an independently chaired Improvement Board</li> <li>Regular 3 monthly Ofsted visits to ascertain quality of service delivery to vulnerable children</li> <li>Traditional and Beyond Audit approach to promote improvements in quality of practice</li> </ul>		<p><b>Further Mitigation</b> (what more should we do to reduce risk to our risk appetite level) and opportunities</p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Further ongoing work identified for Mental Health Services regarding reporting through the statutory safeguarding process as well as the trusts internal service. (DATIX).</td> <td>Head of Adult Social Care</td> <td>Jan 18</td> </tr> <tr> <td>From the 1<sup>st</sup> of October the Safeguarding Team will be screening all of the safeguarding concerns; the team has additional capacity to support this and the teams who are investigating safeguarding enquiries. This will be reviewed quarterly</td> <td>Safeguarding Adults Team Manager</td> <td>Jan 18</td> </tr> <tr> <td>Revised Safeguarding Adults Policy &amp; Procedure Launched</td> <td>Safeguarding Adults Team Manager</td> <td>Dec 17</td> </tr> </tbody> </table>			Officer responsible	Target date	Further ongoing work identified for Mental Health Services regarding reporting through the statutory safeguarding process as well as the trusts internal service. (DATIX).	Head of Adult Social Care	Jan 18	From the 1 <sup>st</sup> of October the Safeguarding Team will be screening all of the safeguarding concerns; the team has additional capacity to support this and the teams who are investigating safeguarding enquiries. This will be reviewed quarterly	Safeguarding Adults Team Manager	Jan 18	Revised Safeguarding Adults Policy & Procedure Launched	Safeguarding Adults Team Manager	Dec 17
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<p><b>Risk 11: Criminal Exploitation</b> Risk of death harm or injury to vulnerable persons for whom we have a responsibility</p>		<p><b>Risk Owners:</b> Director of Children, Education and Early Help Services</p>													
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 4 x 5</p> <p>Current Residual 4 x 3</p> <p>Appetite 3 x 2</p> <p><b>Potential Impact</b></p> <p>Death or injury. Loss or reputation. Fines/penalties. Insurance claims</p>	<table border="1"> <caption>Risk Rating Data for 17/18 Q3</caption> <thead> <tr> <th>Category</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Unmitigated</td> <td>20</td> </tr> <tr> <td>Residual</td> <td>12</td> </tr> <tr> <td>Appetite</td> <td>6</td> </tr> </tbody> </table>	Category	Value	Unmitigated	20	Residual	12	Appetite	6	<p><b>Rationale for current score:</b></p> <p>Risk of death or serious injury. "Criminal Exploitation", gangs use children to traffic drugs, using dedicated mobile phones/"lines". Young people are often physically locked in premises and threats of coercion or violence mean they can be too scared to try to make their own way back - even if they have the means to do so." "They are exploited children and are being manipulated.</p> <p><b>Rationale for risk appetite</b></p> <p>Given the risk relates to the safeguarding of vulnerable individuals the risk appetite is low.</p>					
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<p><b>Risk 12: Failure to implement a council wide response to Child Sexual Exploitation involving all appropriate partners.</b></p>		<p><b>Risk Owners:</b> Director of Children, Education &amp; Early Help Services</p>																
<p><b>Risk Rating (Impact x Likelihood)</b></p> <p>Unmitigated 5 x 4</p> <p>Current Residual 4 x 3</p> <p>Appetite 4 x 1</p> <p><b>Potential Impact</b></p> <p><i>Loss or reputation. Fines/penalties. Insurance claims</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Category</th> <th>17/18 Q1</th> <th>17/18 Q2</th> </tr> </thead> <tbody> <tr> <td>Unmitigated</td> <td>20</td> <td>20</td> </tr> <tr> <td>Residual</td> <td>12</td> <td>12</td> </tr> <tr> <td>Appetite</td> <td>4</td> <td>4</td> </tr> </tbody> </table>		Category	17/18 Q1	17/18 Q2	Unmitigated	20	20	Residual	12	12	Appetite	4	4	<p><b>Rationale for current score:</b></p> <p><i>Likelihood is significant as factors outside the control of the Council may result in the sexual exploitation of a child. Failure to adhere to Council procedures may contribute to the failure to safeguard a vulnerable child. The impact of failure would be critical.</i></p> <p><b>Rationale for risk appetite</b></p> <p>Given the risk relates to the safeguarding of vulnerable individuals the risk appetite will be low</p> <div style="border: 1px solid black; padding: 5px; display: inline-block;"> <p>Current RAG rating <span style="background-color: red; color: white; padding: 2px 5px;">RED</span></p> </div>			
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Appetite	4	4																
<p><b>Current Actions(What we are currently doing about the risk)</b></p> <ul style="list-style-type: none"> <li>Local Safeguarding Children’s Board brings together senior and operational staff within the local organisations to help co-ordinate services and make certain they work together to keep children safe from harm. The board has a role in monitoring and overseeing the contribution partnership organisations make towards safeguarding children.</li> <li>Transformation project around early intervention and prevention.</li> <li>Comprehensive restructure of Children’s Services single point of contact (MASH) response to children identified as at risk of CSE and missing children. Phase 2 went live 29<sup>th</sup> September 2017.</li> <li>Implementation of multi-agency response to CSE using LSCB strategic themes of PREVENT, PROTECT, PURSUE and DISRUPT and aid RECOVERY.</li> </ul>		<p><b>Further Mitigation (what more should we do to reduce risk to our risk appetite level) and opportunities</b></p> <table border="1"> <thead> <tr> <th></th> <th>Officer responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Completion of action plan following CSE internal audit review (13 recommendations - key areas below)</td> <td></td> <td>Various</td> </tr> <tr> <td>For the LSCB CSE and Missing Sub Group to agree an annual audit process in line with the Children’s Services QAP Team</td> <td>Quality Assurance Service Manager</td> <td>Mar 18</td> </tr> <tr> <td>Development of a wider CSE dashboard to capture appropriate data</td> <td>Head of EH</td> <td>Mar 18</td> </tr> <tr> <td>Review MOSAIC pathways and reports</td> <td>Performance &amp; Data</td> <td>Mar 18</td> </tr> </tbody> </table>			Officer responsible	Target date	Completion of action plan following CSE internal audit review (13 recommendations - key areas below)		Various	For the LSCB CSE and Missing Sub Group to agree an annual audit process in line with the Children’s Services QAP Team	Quality Assurance Service Manager	Mar 18	Development of a wider CSE dashboard to capture appropriate data	Head of EH	Mar 18	Review MOSAIC pathways and reports	Performance & Data	Mar 18
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