

**READING BOROUGH COUNCIL
EXECUTIVE DIRECTOR OF RESOURCES**

TO:	AUDIT & GOVERNANCE COMMITTEE		
DATE:	12 October 2020		
TITLE:	STRATEGIC RISK REGISTER		
LEAD COUNCILLOR:	COUNCILLOR EMBERSON	PORTFOLIO:	CORPORATE AND CONSUMER SERVICES
SERVICE:	AUDIT & INVESTIGATIONS	WARDS:	N/A
LEAD OFFICER:	PAUL HARRINGTON	TEL:	9372695
JOB TITLE:	CHIEF AUDITOR	E-MAIL:	Paul.Harrington@reading.gov.uk

1. PURPOSE OF REPORT / THE PROPOSAL

- 1.1 This report outlines the Q2 2020/2021 update of the Strategic Risk Register.
- 1.2 The primary purpose of this report is to request members of CMT to review the Council's Strategic Risk Register for Q2 of the 2020/2021 financial year, prior to onward submission to the Council's Audit & Governance Committee, in line with the requirements of the Council's risk management strategy.
- 1.3 In normal circumstances the Register is presented to the Council's Audit & Governance Committee every six months. It was last presented to the Committee in January 2020 but has not been presented since, because of priorities associated with COVID-19.
- 1.4 The following documents are appended:
Appendix 1 - Council's Strategic Risk Register

2. RECOMMENDED ACTION

- 2.1 The committee are requested to consider the Council's strategic risks as of Sep 2020 (end of Q2).

2. KEY ISSUES

- 2.1 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.
- 2.2 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.
- 2.3 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. COVID-19, the economic climate and its impact on financial planning, or severe weather etc.
- 2.4 Risk appetite was introduced to our risk register in 2018. 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.*
- 2.5 The analysis of red, amber and green is based on the extent of the gap between the current residual risk and the risk appetite.
- 2.6 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. Where risks have been rated as green for 2 or more consecutive quarters they are 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

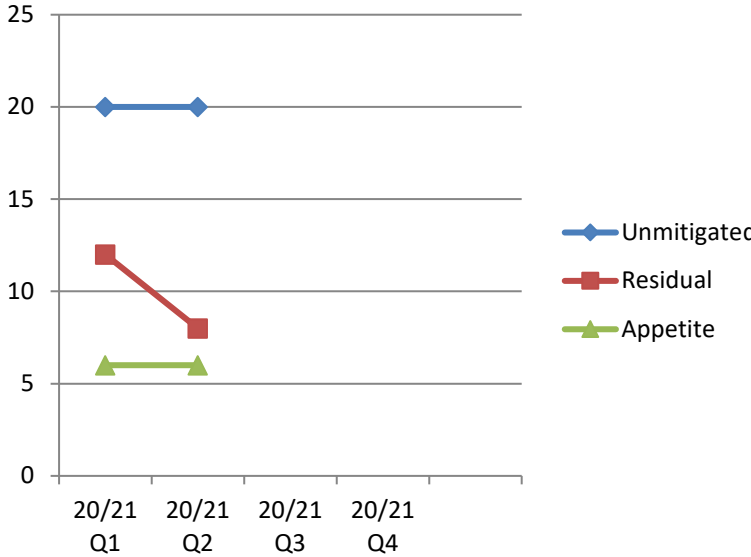
- 8.1 Appendix 1 - the Council's Corporate (Strategic) Risk Register.

Risk 1: <i>The council does not create and deliver a sustainable Medium-Term Financial Plan and/or achieve a balanced budget.</i>		Risk Owner: Assistant Director of Finance		
Corporate Priority: <i>Ensuring the Council is fit for the future</i>				
<div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 5 x 5</div><div>Current Residual 5 x 4</div><div>Appetite 4 x 1</div><div>Potential Impact</div><div>Strategic objectives and statutory duties not met. Council unable to set legal budget. Service or services failure</div></div>	<div><div>Unmitigated</div><div>Residual</div><div>Appetite</div></div>	<div><div>Rationale for current score:</div><div>The Council is experiencing unprecedented budget pressures following the COVID-19 pandemic. The financial impact on the Council will be significant arising from for example lost income, irrecoverable response expenditure and delayed savings programmes.</div><div>Rationale for risk appetite</div><div>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.</div><div>Current RAG rating<div>RED</div></div></div>		
<div>Current Actions (<i>What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual</i>)</div> <div><ul style="list-style-type: none">Robust monitoring arrangements are in place re delivery of savings and tracking of budget pressuresSignificant savings are being managed by Corporate Programme Boards each with a CMT sponsorProgramme of Fundamental Service Reviews has been implemented to identify further opportunities for 'savings'.Detailed monitoring of savings plans to ensure that they are delivered in full in accordance with the milestones agreed, or that appropriate change control is followed.Performance in respect of budget and savings delivery is reported to CMT monthlyProcurement and recruitment in line with corporate policies and procedures to deliver good value for money.Quarterly reporting of budget position to Policy Committee</div>		<div>Further Mitigation (<i>what more should we do to reduce residual risk to our risk appetite level</i>) and opportunities</div> <div><div>Ongoing review of financial monitoring systems and procedures commencing to identify improvements to facilitate greater budget monitoring scrutiny and effectiveness begun.</div><div>Various workstreams underway to identify how the financial gap due to Covid-19 can be mitigated, including review of capital programme and MTFS.</div><div>Budget monitoring incorporates the savings delivery plan as a separate report, with mitigation plans to be implemented for those savings at risk (Red/Amber RAG status)</div><div>Assistant directors instructed to fully mitigate any unmet savings</div><div>Finance Transformation Project is underway. This includes reviewing and improving budget reporting, budget manager training, coding structures.</div></div>	<div>Officer (s) responsible</div> <div>Assistant Director of Finance</div> <div>Assistant Director of Finance</div> <div>CMT</div> <div>Assistant Directors</div> <div>Financial Planning & Strategy Manager</div>	<div>Target date</div> <div>ongoing</div> <div>First round of proposals Sep-20</div> <div>Ongoing</div> <div>Ongoing</div> <div>Ongoing</div>

Risk 2: <i>Insufficient or lack of capable staff resources to deliver our services in an effective and efficient manner</i>		Risk Owner: Assistant Director of HR & Organisational Development													
Corporate Priority: <i>Ensuring the Council is fit for the future</i>															
<div><div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 4 x 5</div><div>Current Residual 3 x 3</div><div>Appetite 3 x 2</div><div>Potential Impact</div><div><i>Failure to meet demand. Statutory duties not met. Negative impact on staff motivation and stress related illness.</i></div></div><div><div><div>Unmitigated</div><div>Residual</div><div>Appetite</div></div></div></div>		<div><div>Rationale for current score:</div><div>Managing delivery of ongoing services during a period of significant change, reduced staffing, difficulties in recruiting to certain specialist posts and staff resources diverted to the transformation programme</div><div>Rationale for risk appetite</div><div>In order to implement the Transformation Programme, this will put pressure on managing and delivering services.</div><div><div>Current RAG rating</div><div>AMBER</div></div></div>													
<div><div>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</div><div><ul style="list-style-type: none">HR and OD transformation plan in progress which aims to increase OD capacity to support achievement of a high performing, highly skilled and motivated workforceAccess to pool of appropriately qualified temporary staff via agency contract (procurement process for a new contract from February 2021 is now underway).Team Reading Programme established to support delivery of the People Strategy which aims to achieve a highly skilled and motivated workforce. Programme governance in place through monthly boards reporting progress to CMTResourcing team established to improve the approach and success of permanent and all other types of recruitment. Time to fill (advert to start date) has reduced from around 100 days to an average of 67 days. Success rate of recruitment has increased from 50% to 75%.Improved HR management information is now available to managers following roll out of iTrent self-service modules. This enables more effective monitoring of turnover, absence trends etc so that any areas of concern can be identified and acted upon quickly</div></div>		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Update HR policies and procedures and communicate amendments to staff and provide training for managers where required</td><td>Assistant Director of HR and OD</td><td>March 2021</td></tr><tr><td>Repeat the Staff Survey to track progress and improvements since the last survey in April 2019. Currently on hold due to Covid and uncertainty about future ways of working</td><td>Assistant Director of HR and OD</td><td>March 2021</td></tr><tr><td>Reduce agency spend through improved focus on permanent recruitment</td><td>CMT</td><td>Ongoing</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Update HR policies and procedures and communicate amendments to staff and provide training for managers where required	Assistant Director of HR and OD	March 2021	Repeat the Staff Survey to track progress and improvements since the last survey in April 2019. Currently on hold due to Covid and uncertainty about future ways of working	Assistant Director of HR and OD	March 2021	Reduce agency spend through improved focus on permanent recruitment	CMT	Ongoing
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date													
Update HR policies and procedures and communicate amendments to staff and provide training for managers where required	Assistant Director of HR and OD	March 2021													
Repeat the Staff Survey to track progress and improvements since the last survey in April 2019. Currently on hold due to Covid and uncertainty about future ways of working	Assistant Director of HR and OD	March 2021													
Reduce agency spend through improved focus on permanent recruitment	CMT	Ongoing													

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.		Risk Owners: AD of Legal & Democratic Services (SIRO) / Chief Digital & Information Officer																							
Corporate Priority: <i>Ensuring the Council is fit for the future</i>																									
Risk Rating (Impact x Likelihood) Unmitigated 5 x 4 Current Residual 4 x 2 Appetite 3 x 2 Potential Impact <i>Fines/penalties, reputation damage, service failure.</i>	<table><thead><tr><th>Rating</th><th>20/21 Q1</th><th>20/21 Q2</th><th>20/21 Q3</th><th>20/21 Q4</th></tr></thead><tbody><tr><td>Unmitigated</td><td>20</td><td>20</td><td></td><td></td></tr><tr><td>Residual</td><td>8</td><td>8</td><td></td><td></td></tr><tr><td>Appetite</td><td>6</td><td>6</td><td></td><td></td></tr></tbody></table>	Rating	20/21 Q1	20/21 Q2	20/21 Q3	20/21 Q4	Unmitigated	20	20			Residual	8	8			Appetite	6	6			Rationale for current score: The likelihood has reduced slightly following staff awareness training, and further rollout of e-learning packages. Potential impact remains high. Rationale for risk appetite 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.	<table><tr><td>Current RAG rating</td><td>AMBER</td></tr></table>	Current RAG rating	AMBER
Rating	20/21 Q1	20/21 Q2	20/21 Q3	20/21 Q4																					
Unmitigated	20	20																							
Residual	8	8																							
Appetite	6	6																							
Current RAG rating	AMBER																								
Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>) <ul style="list-style-type: none">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.GDPR e-learning module has been rolled out to staff and made mandatory for staff to complete. Face to Face Data Protection refresher training is available for staff as and when needed.Information Governance Board (IGB) set up to oversee delivery of IG strategy and complianceSubject Access Request policy and Breach Management policy reviewed by IGB. Further training to be delivered to staff.Privacy Notices have been updated for each service area and made available to service users. This are kept under review e.g. were updated for revised Covid operations.Information Sharing Protocols have been centralised and will be reviewed by IGB.Teams have completed DPIA's documenting what personal data is being processing. These are to be reviewed as part of current IGB programme.Strategic review of all IG strategy/functions/roles/action plan completed in May 2020.Review of information governance taking place through IGB and overlaps with Smarter Working project (O365 benefits realisation) mappedNew Data Intelligence Team in place June 2020		<table><thead><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr></thead><tbody><tr><td>Need to test application of training to ensure it is taken up and is effective. Training for staff handling sensitive data or responsible for Information Assets needs to be prioritised.</td><td>SIRO</td><td>Ongoing</td></tr><tr><td>Further work to highlight responsibility for the proper ownership and management of data assets is ongoing via the IGB.</td><td>SIRO</td><td>Ongoing</td></tr><tr><td>Ongoing improvements to the handling of SARs and FOIs through the Firmstep system to be completed, with greater visibility for performance via InPhase to be introduced.</td><td>AD Legal & Democratic Services</td><td>Ongoing</td></tr><tr><td>Completion of follow up actions on Audits regarding FOI and Data Transparency. Engaging with IGB and Services as necessary to ensure corporate approach is delivered.</td><td>AD Legal & Democratic Services</td><td>Ongoing</td></tr></tbody></table>	Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Need to test application of training to ensure it is taken up and is effective. Training for staff handling sensitive data or responsible for Information Assets needs to be prioritised.	SIRO	Ongoing	Further work to highlight responsibility for the proper ownership and management of data assets is ongoing via the IGB.	SIRO	Ongoing	Ongoing improvements to the handling of SARs and FOIs through the Firmstep system to be completed, with greater visibility for performance via InPhase to be introduced.	AD Legal & Democratic Services	Ongoing	Completion of follow up actions on Audits regarding FOI and Data Transparency. Engaging with IGB and Services as necessary to ensure corporate approach is delivered.	AD Legal & Democratic Services	Ongoing								
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date																							
Need to test application of training to ensure it is taken up and is effective. Training for staff handling sensitive data or responsible for Information Assets needs to be prioritised.	SIRO	Ongoing																							
Further work to highlight responsibility for the proper ownership and management of data assets is ongoing via the IGB.	SIRO	Ongoing																							
Ongoing improvements to the handling of SARs and FOIs through the Firmstep system to be completed, with greater visibility for performance via InPhase to be introduced.	AD Legal & Democratic Services	Ongoing																							
Completion of follow up actions on Audits regarding FOI and Data Transparency. Engaging with IGB and Services as necessary to ensure corporate approach is delivered.	AD Legal & Democratic Services	Ongoing																							

<i>Risk 3 continued</i>	
<p>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</p> <ul style="list-style-type: none">• The Council now has retention schedules for each directorate. All retention schedules have been updated and will be reviewed to through ongoing IGB programme to ensure they are being actioned. Further work through the IGB will ensure that the schedules are given greater visibility and to assess level of compliance.• Records of processing activities (ROPA) being further developed by DPO and will help to identify Information Asset Owners within Services.	

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		Risk Owners: Assistant Director of Legal & Democratic Services/ Executive Director of Resources													
Corporate Priority: Ensuring the Council is fit for the future, Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children, Keeping Reading's environment clean, green and safe. Promoting great education, leisure and cultural opportunities for people in Reading															
<div>Risk Rating (Impact x Likelihood)</div> <div>Unmitigated 5 x 4</div> <div>Current Residual 4 x 2</div> <div>Appetite 3 x 2</div> <div>Potential Impact</div> <div>Breach of governance procedures could lead to adverse Ombudsman, Ofsted, External Audit, Care Quality Commission opinions and/or Legal challenge from those who interact with the Council</div>		<div></div> <div>Rationale for current score:</div> <div>While controls are in place, they are not always being followed. Processes are improving as are training and policies, but the impact of this is not yet proven. The Council's AGS suggests progress still needs to be made to reduce the residual risk.</div> <div>Rationale for risk appetite</div> <div>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</div> <div>Current RAG rating</div> <div>AMBER</div>													
<div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div> <div><ul style="list-style-type: none">Follow up on Audit Recommendations to ensure that they are all dealt with fully so that systems, processes and compliance are improved. Recommendation tracker presented to A&G along with limited assurance audit reports in full.The induction programme for new members of staff includes guidance to certain key governance policies (including the Code of Conduct);Staff code of conduct issued with contracts of employment for all staffStrategic risk register to be kept up to date and reviewed promptly.Roll out of net consent for policy management; recently used for GDPR training.Some HR policies already agreed such as sickness, disciplinary residual policy updates are scheduled and programmed for agreement.IT Policies have been updated and were agreed by Committee in December, training is being rolled out.</div>		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Implement Finance Improvement programme, covering six workstreams with a formal programme structure</td><td>Executive Director of Resources</td><td>Q4 2020</td></tr><tr><td>Continue to use the Directorate Performance Steering Groups to drive compliance</td><td>Assistant Director of Finance</td><td>Continuous</td></tr><tr><td>Financial Regulations are currently being updated and will be rolled out as soon as approved</td><td>Assistant Director of Finance/ Director of Resources</td><td>Q3 20/21</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Implement Finance Improvement programme, covering six workstreams with a formal programme structure	Executive Director of Resources	Q4 2020	Continue to use the Directorate Performance Steering Groups to drive compliance	Assistant Director of Finance	Continuous	Financial Regulations are currently being updated and will be rolled out as soon as approved	Assistant Director of Finance/ Director of Resources	Q3 20/21
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date													
Implement Finance Improvement programme, covering six workstreams with a formal programme structure	Executive Director of Resources	Q4 2020													
Continue to use the Directorate Performance Steering Groups to drive compliance	Assistant Director of Finance	Continuous													
Financial Regulations are currently being updated and will be rolled out as soon as approved	Assistant Director of Finance/ Director of Resources	Q3 20/21													

<i>Risk 4 continued</i>			
Current Actions <i>(What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</i> <ul style="list-style-type: none">• Ethics statement being refreshed• Control of payments to employees better controlled through I Trent roll out• The Council now has retention schedules for each directorate. All retention schedules have been updated and will be reviewed to ensure they are compliant with any future updates. The retention schedules are available to all staff and all directorates are expected to follow them to ensure compliance.• I Trent rolled out to all staff with expectation of self-serve culture to keep own personal data up to date.			
	Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
	HR policies and procedures are being reviewed and updated	Assistant Director of HR and OD	Mar 2021
	Code of Conduct has been revised in consultation with the TUs (subject to Personnel Committee approval in November 2020) and will then be relaunched to staff.	Assistant Director of HR and OD	Dec 2020

Risk 5: Provider Failure & Market Sustainability Issues and Failure of major contract causes financial, service delivery, legal and H&S issues which directly impact the Council - (Adult Social Care - Care Homes & Domiciliary Care and Emergency Duty Service)		Risk Owners: Assistant Director Commissioning, Transformation & Performance (DACHS)										
Corporate Priority: Ensuring the Council is fit for the future, Securing the economic success of Reading. Protecting and enhancing the lives of vulnerable adults and children.												
<div><div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 5 x 4</div><div>Current Residual 3 x 3</div><div>Appetite 2 x 2</div><div>Potential Impact</div><div><div>• Disruption to services.</div><div>• Failure to meet Care Act statutory duties</div><div>• Service users required to move due to service closures</div></div></div><div><div><div><div>25</div><div>20</div><div>15</div><div>10</div><div>5</div><div>0</div></div><div><div>20/21 Q1</div><div>20/21 Q2</div><div>20/21 Q3</div><div>20/21 Q4</div></div></div><div><div><div>Unmitigated</div><div>Residual</div><div>Appetite</div></div></div></div></div>		<div><div>Rationale for current score:</div><div>Increasing pressure on adult social care due to changing demographics and increase in complexity of needs. Covid-19 has created additional pressures in the market both financially and for the workforce. This may result in closure of services and/or reduction in service offer whilst Providers are managing the crisis of the pandemic and working within the constraints this brings.</div><div>Rationale for risk appetite</div><div>Tolerance is medium due to small providers being able to absorb most service failures. A large care home/homecare failure would require significant Officer time to provide support. However, as our market share is spread across a number of providers the risk is further mitigated apart from in Nursing Dementia provision.</div><div><div>Current RAG rating</div><div>RED</div></div></div>										
<div><div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div><div><div>• Business continuity plans have been checked and tested as a result of Covid-19. Their robustness continue to be checked as part of the annual quality assessment process (AQA).</div><div>• Onboarding of new Providers via the Homecare & Supported Living Frameworks Key contracts are monitored on a regular basis as part of the contract performance. This should address any capacity or performance issues that might indicate that there may be issues with financial/general viability.</div><div>• Financial risk assessment of prospective suppliers is undertaken for all major contracts let by the Council and annual financial assessment checks where appropriate.</div><div>• An up to date contract register is in place.</div><div>• An Accommodation Strategy and accompanying needs analysis is in development to better understand our future needs which will shape our commissioning intentions.</div><div>• Business Case being prepared detailing our approach to Block Contracts in the future to ensure provision is fit for purpose</div></div></div>		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Ongoing review and analysis of the impact of Covid-19 on Providers and associated actions to support them presented in monthly updates to DMT e.g. 3% Covid support, day services payments</td><td>Assistant Director Commissioning, Transformation & Performance</td><td>Autumn 20</td></tr><tr><td>Infection control monies are distributed in line with the Grant conditions to support the market and returns are completed as required</td><td>Assistant Director Commissioning, Transformation & Performance</td><td>Dec 20 Mar 21</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Ongoing review and analysis of the impact of Covid-19 on Providers and associated actions to support them presented in monthly updates to DMT e.g. 3% Covid support, day services payments	Assistant Director Commissioning, Transformation & Performance	Autumn 20	Infection control monies are distributed in line with the Grant conditions to support the market and returns are completed as required	Assistant Director Commissioning, Transformation & Performance	Dec 20 Mar 21
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date										
Ongoing review and analysis of the impact of Covid-19 on Providers and associated actions to support them presented in monthly updates to DMT e.g. 3% Covid support, day services payments	Assistant Director Commissioning, Transformation & Performance	Autumn 20										
Infection control monies are distributed in line with the Grant conditions to support the market and returns are completed as required	Assistant Director Commissioning, Transformation & Performance	Dec 20 Mar 21										

<i>Risk 5 continued</i>			
<p>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</p> <ul style="list-style-type: none"> Preventative intervention by Quality Officers where providers are failing to support them to improve and deliver a sustainable service if viable and appropriate. A Provider Failure Protocol is being prepared in the event this is required Covid 19 support has been implemented in line with the Procurement Policy Notice (PPN) and Local Government Association guidance The NHS Capacity tracker is used to identify issues thus resulting in early intervention Performance and resilience of providers who hold public health contracts that are commissioned by the shared public team are reported to the consultant in public health on a monthly basis Within the context of COVID-19 Public Health providers have been offered appropriate flexibility over contract payments to relieve any short-term cash flow challenges 	Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities		
	Realigning the Commissioning and operational services in order to deliver improved working relationships with Providers to contingency plan for the future as demand grows	Assistant Director Commissioning, Transformation & Performance	Autumn 20
	Work with system partners to identify and secure additional Infection Control capacity to work across all Provider settings to support with Covid19 and wider concerns e.g. training, isolating residents	Assistant Director Commissioning, Transformation & Performance	Oct 20

Risk 6: Insufficient vision and strategy for sustainable economic development and resilience leading to exposure to external shocks, a lack of investment in strategic infrastructure, a consequential decline in prosperity and an unequal distribution of economic opportunities in Reading and the wider sub-region.

Risk Owners: Executive Director for Economic Growth & Neighbourhood Services

Corporate Priority: *Securing the economic success of Reading*

Risk Rating (Impact x Likelihood)

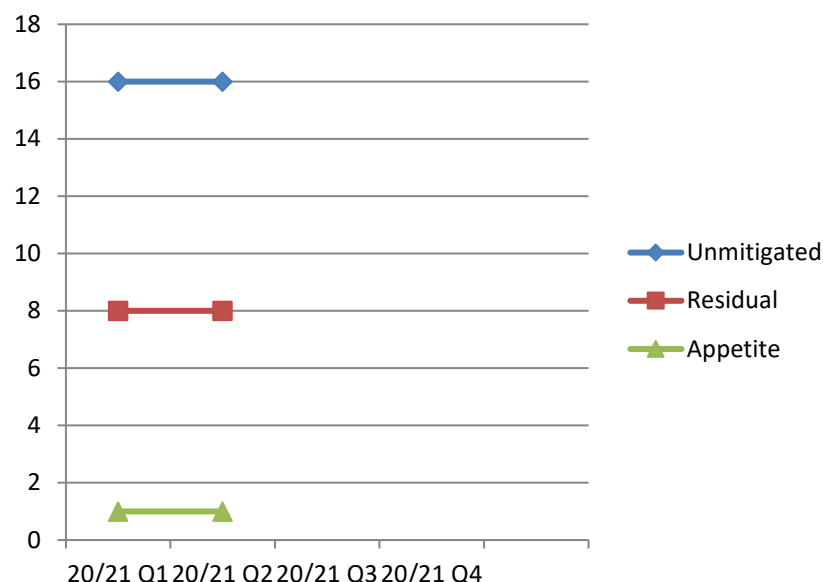
Unmitigated 4 x 4

Current Residual 4 x 2

Appetite 1 x 1

Potential Impact

Declining growth/recession in Reading will present less job opportunities and a likely decline or stagnating incomes/living standards.



Rationale for current score:

Reading's (and the wider Thames Valley) economy in, on paper, relatively resilient, but can be negatively affected by wider economic trends, including the short-term impacts of Covid-19, medium-term impact of Brexit and longer-term impact of extreme weather events and other external shocks. The Council's role in creating the right conditions for growth is significant, but it has limited control over major external impacts such as those driven by Covid-19.

Rationale for risk appetite:

The sustainable economic development and resilience of the town is critical to quality of life of residents and also has an inherent link to demands on Council services as well as Council income.

Current RAG rating

RED

Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- The Council's Covid-19 emergency planning response included a strong focus on supporting the business community and the local economy through the worst of the crisis, with a Sub-Group of Silver Command focussing on the Economy, now superseded by a more strategic Economic Recovery and Renewal Group reporting to CMT
- The Council has channelled financial support, advice and information to the business community and worked with Reading UK and business partners to enable the safe re-opening of economic activity at the earliest practicable opportunity
- The Council has been responding to requests from central Government via the LEP for ideas for capital projects which could stimulate jobs/growth and a 'green recovery'. The Council published a Draft Local Transport Plan 4 published in Summer 2020 following a visioning consultation undertaken in 2019, to be finalised late 2020. The LTP will include future demand management to reduce the economic and social costs of congestion and poor air quality and will identify essential transport infrastructure to support the local economy.

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities

Officer responsible

Target date

Completion of Local Transport Plan 4 and subsequent implementation of key policy measures and infrastructure investments.

Deputy Director of P.T & R Services

Dec 2020

Development of a town centre vision / masterplan to be an overarching plan to guide the development of the town including transport and public realm matters.

Deputy Director of P.T & R Services

Autumn 2020

Implementation of Reading Local Plan and discharge of planning and other regulatory functions which support economic recovery through a responsive and flexible approach

Deputy Director of P.T & R Services

To 2036

Risk 6 continued																			
<p>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</p> <ul style="list-style-type: none">• The Council’s new Local Plan setting out how Reading will develop up to 2036 ensuring housing, economic, environmental and social needs are met was adopted in November 2019.• The Council’s new build housing programme is adding to the supply of affordable housing in the town The Council is working with Reading UK CIC to market and promote the town and secure investment in a high-quality town centre offer and explore opportunities to improve the public realm in the light of Covid-19• The Council has contributed to the agreed Local Industrial Strategy including key matters related to inclusive and sustainable growth, and will be involved in any revisions to this required in response to Covid-19• the Council has delivered a comprehensive cultural programme to raise Reading’s profile, including for inward investors, with this being a key shared endeavour with the Council, Reading UK and the University as key partners. The Council’s capital programme (currently under review in the light of Covid-19) identifies significant additional investment in infrastructure (e.g. in transport, digital, energy, leisure, greenspace and the public realm) which will support the recovery of the local economy• The Council has contributed to the draft Reading Climate Emergency Strategy, which was published for consultation in March and which will be finalised in the autumn, to support a transition to a low carbon economy as envisaged in the Climate Emergency declaration of February 2019.	<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Deliver Local Authority New Build Programme on Council owned land over the next three years</td><td>AD Housing & Communities and AD Property and Asset Management</td><td>2020-2022</td></tr><tr><td>Complete review of capital programme, deploy investment to support economic recovery and bid for central Government funding to supplement RBC capital programme</td><td>Deputy Director of P.T & R Services</td><td>Summer 2020</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>Deputy Director of regeneration and assets</td><td>Ongoing</td></tr><tr><td>Completion and implementation of Reading Climate Emergency Strategy 2020-25- published for consultation in Spring 2020 and adoption in Autumn 2020.</td><td>Head of Climate Strategy</td><td>Autumn 2020</td></tr><tr><td>Clarify position with strategic leisure provider and progress leisure investment programme accordingly</td><td>AD Culture</td><td>Ongoing to 2022</td></tr></table>	Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Deliver Local Authority New Build Programme on Council owned land over the next three years	AD Housing & Communities and AD Property and Asset Management	2020-2022	Complete review of capital programme, deploy investment to support economic recovery and bid for central Government funding to supplement RBC capital programme	Deputy Director of P.T & R Services	Summer 2020	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.	Deputy Director of regeneration and assets	Ongoing	Completion and implementation of Reading Climate Emergency Strategy 2020-25- published for consultation in Spring 2020 and adoption in Autumn 2020.	Head of Climate Strategy	Autumn 2020	Clarify position with strategic leisure provider and progress leisure investment programme accordingly	AD Culture	Ongoing to 2022
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date																	
Deliver Local Authority New Build Programme on Council owned land over the next three years	AD Housing & Communities and AD Property and Asset Management	2020-2022																	
Complete review of capital programme, deploy investment to support economic recovery and bid for central Government funding to supplement RBC capital programme	Deputy Director of P.T & R Services	Summer 2020																	
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.	Deputy Director of regeneration and assets	Ongoing																	
Completion and implementation of Reading Climate Emergency Strategy 2020-25- published for consultation in Spring 2020 and adoption in Autumn 2020.	Head of Climate Strategy	Autumn 2020																	
Clarify position with strategic leisure provider and progress leisure investment programme accordingly	AD Culture	Ongoing to 2022																	

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		Risk Owners: Assistant Director for Housing & Neighbourhoods												
Corporate Priority: Improving access to decent housing to meet local needs														
<div>Risk Rating (Impact x Likelihood)</div> <div>Unmitigated 5 x 4</div> <div>Current Residual 4 x 2</div> <div>Appetite 4 x 1</div> <div>Potential Impact</div> <div>Death/Injury to individuals and/or non-compliance with relevant legislation</div>	<div><table><caption>Risk Rating Data</caption><thead><tr><th>Quarter</th><th>Unmitigated</th><th>Residual</th><th>Appetite</th></tr></thead><tbody><tr><td>20/21 Q1</td><td>20</td><td>10</td><td>4</td></tr><tr><td>20/21 Q2</td><td>20</td><td>8</td><td>4</td></tr></tbody></table></div>	Quarter	Unmitigated	Residual	Appetite	20/21 Q1	20	10	4	20/21 Q2	20	8	4	<div>Rationale for current score:</div> <div>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.</div> <div>Rationale for risk appetite</div> <div>The Council has a low appetite for injury or death to its residents' tenants. Considering that the impact of an incident is potentially a fatality, the Council's residual risk score may never reach our appetite.</div> <div>Current RAG rating<div>AMBER</div></div>
Quarter	Unmitigated	Residual	Appetite											
20/21 Q1	20	10	4											
20/21 Q2	20	8	4											
<div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div> <div><ul style="list-style-type: none">Detailed Housing Service action plan completed in respect of fire safety post Grenfell Tower. H&S compliance monitoring has been reviewed and strengthened.Type 4 intrusive Fire Risk Assessments of sample high rise and other higher risk low rise blocks completed. Overall findings were positive. Advice re additional fire safety measures proposed to proactively improve safety in flatted blocks have been costed and scheduled - this has resulted in a capital requirement over 5 years of circa £6-7m in the Housing Revenue Account. Works have been or are being commissioned according to our 5-year programme of works.All 350 RBC flatted residential blocks had an FRA completed as at end December 2017 and are on a rolling programme of assessment per LGA guidance using external and internal capacity. Internal assessors are fully trained but we are now additionally seeking external accreditation.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.Joint RBC and Royal Berkshire Fire and Rescue Service (RBRFS) service inspections of priority high rise following an MoU. 89 residential buildings over 18 meters in height have been identified within the Reading Borough Council administrative area including the 7 local authority blocks.</div>		<div>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</div> <div><div>Continue to work with and monitor owners response to remove cladding from three high rise properties. Work to remove cladding on two buildings has commenced. Address issues raised following the joint RBRFS inspections and react to emerging issues as they are identified.</div><div>Continue to monitor our Corporate response via the Corporate Fire Safety Working Group. In particular, ensure that housing procured for vulnerable adults and children have the relevant agreements and checks in place.</div></div> <div><div>Officer responsible</div><div>Deputy Director of P.T & R Services</div></div> <div><div>Target date</div><div>Ongoing</div></div> <div><div>Officer responsible</div><div>Deputy Director of P.T & R Services</div></div> <div><div>Target date</div><div>Ongoing</div></div>												

<i>Risk 7 continued</i>	
<p>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</p> <ul style="list-style-type: none">• Working with owners to remove ACM cladding on three high rise buildings. Interim measures in place to secure safety of residents. Regular reporting to MHCLG.• Planning to implement new requirements to review in more detail all residential high rise over 18m, hotels and student accommodation. Also reviewing what action will need to be taken once all the detail comes out from the review. It is anticipated that there will be significant follow up work.• Corporate working group set up to review, agree and implement actions arising. ASC are reviewing the procurement standards and checks within their housing. The issue has been raised with BfFC.• In 2018/19 a wider external audit of health and safety practice in Housing was commissioned. Audit completed in 2018/19 with a focus on Construction, Design and management (CDM). Report and action plan finalised - with external assessor and actions are now complete	

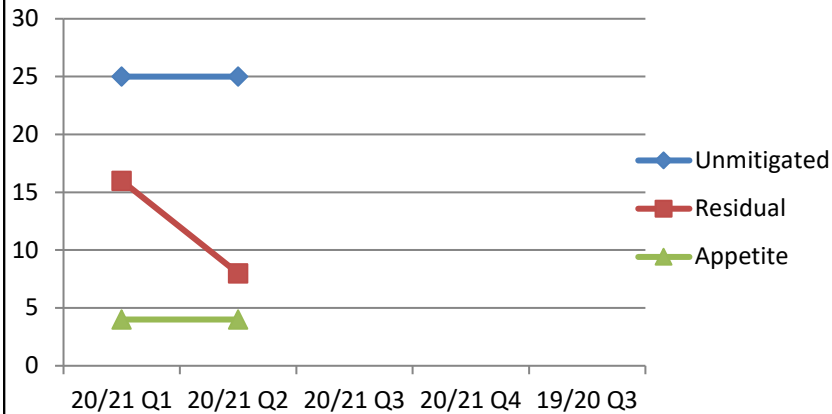
Risk 8: Partnerships - Failure to develop and maintain key partner relationships results in failure to deliver key shared outcomes		Risk Owners: Assistant Director Corporate Improvement and Customer Service & Assistant Director Commissioning, Transformation & Performance - DACHS																					
Corporate Priority: <i>Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children</i>																							
<div>Risk Rating (Impact x Likelihood)</div> <div>Unmitigated 4 x 4</div> <div>Current Residual 2 x 3</div> <div>Appetite 2 x 2</div> <div>Potential Impact</div> <div>Community needs not met</div> <div>Negative impact on community cohesion which could lead to extremism.</div> <div>Increased risk of failure of voluntary sector umbrella support</div>		<div><table><caption>Risk Rating Data</caption><thead><tr><th>Quarter</th><th>Unmitigated</th><th>Residual</th><th>Appetite</th></tr></thead><tbody><tr><td>20/21 Q1</td><td>16</td><td>6</td><td>4</td></tr><tr><td>20/21 Q2</td><td>16</td><td>6</td><td>4</td></tr><tr><td>20/21 Q3</td><td>16</td><td>6</td><td>4</td></tr><tr><td>20/21 Q4</td><td>16</td><td>6</td><td>4</td></tr></tbody></table></div> <div>Rationale for current score: A number of partnerships are embedded to secure strategic and operational outcomes.</div> <div>Rationale for risk appetite 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.</div> <div><div>Current RAG rating</div><div>AMBER</div></div>		Quarter	Unmitigated	Residual	Appetite	20/21 Q1	16	6	4	20/21 Q2	16	6	4	20/21 Q3	16	6	4	20/21 Q4	16	6	4
Quarter	Unmitigated	Residual	Appetite																				
20/21 Q1	16	6	4																				
20/21 Q2	16	6	4																				
20/21 Q3	16	6	4																				
20/21 Q4	16	6	4																				
<div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div> <div><ul style="list-style-type: none">Reading 2050 vision document 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 a Reading Futures Commission group made up of key partners is being set up to steer this.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.Local Enterprise Partnership and joint working to influence investment in infrastructure, skills and private sector to support economic growth.Cultural Partnership (CP) and Cultural Education Partnership (CEP) 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) - future shape of CP to be determinedWe have set up quarterly meetings of the chief executives voluntary and community sector sounding board to identify areas for joint working on key areas of concern</div>		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Work to understand and improve partnership, voluntary sector and policy strategy across the council. - Being picked up by the Social Inclusion and voluntary sector Recovery Group. Lead officer Andrew Withey</td><td>AD Corporate Improvement</td><td>Q3 20/21</td></tr><tr><td>Review the quality of partnership work and consider whether to reintroduce a Local Strategic Partnership body</td><td>AD Corporate Improvement</td><td>Q3 20/21</td></tr><tr><td>Implement next phase of pilot work with the voluntary sector to deliver the adult social care front door function thus enhancing our wider preventative offer and reducing the need for reliance on statutory services</td><td>AD of Commissioning, Transformation and Performance</td><td>Q3 20/21</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Work to understand and improve partnership, voluntary sector and policy strategy across the council. - Being picked up by the Social Inclusion and voluntary sector Recovery Group. Lead officer Andrew Withey	AD Corporate Improvement	Q3 20/21	Review the quality of partnership work and consider whether to reintroduce a Local Strategic Partnership body	AD Corporate Improvement	Q3 20/21	Implement next phase of pilot work with the voluntary sector to deliver the adult social care front door function thus enhancing our wider preventative offer and reducing the need for reliance on statutory services	AD of Commissioning, Transformation and Performance	Q3 20/21								
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date																					
Work to understand and improve partnership, voluntary sector and policy strategy across the council. - Being picked up by the Social Inclusion and voluntary sector Recovery Group. Lead officer Andrew Withey	AD Corporate Improvement	Q3 20/21																					
Review the quality of partnership work and consider whether to reintroduce a Local Strategic Partnership body	AD Corporate Improvement	Q3 20/21																					
Implement next phase of pilot work with the voluntary sector to deliver the adult social care front door function thus enhancing our wider preventative offer and reducing the need for reliance on statutory services	AD of Commissioning, Transformation and Performance	Q3 20/21																					

<i>Risk 8 continued</i>			
<p>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</p> <ul style="list-style-type: none"> • Key stakeholder meetings are held with key partners on an ongoing basis • One Public Estate Partnership - to oversee and implement shared property ambitions across the public estate. • CSC - participation in statutory and strategic partnerships to include Local Safeguarding Board, Children's Trust Board, Children's Services Improvement Board, Health & Wellbeing Board. Strategic Management Group (TVP) • Undertaking an audit of current partnerships and partnership boards attended across the organisation. To inform proposals for future partnership approach and efficacy of existing partnerships. • Adult Social Care provider forums meet quarterly with a focus on new ways of working, areas for service developments and markets challenges • Adult Social Care and Health Integration and collaborative working is discussed at the Berkshire West 7 Programme Board that meets monthly. 	<p>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</p>		
	<p>Market shaping events held across service areas providing clarity around areas of development for Adult Social Care with a view to finding creative solutions to meet needs</p>	<p>AD of Commissioning, Transformation and Performance</p>	<p>Q3 20/21</p>

Risk 9: BFfC - Failure of the new Children’s Company to improve service levels and financial overspend, results in poor performance and accelerated adverse financial impacts (as failure to improve overspend means the Council is unable to access the delivery fund grant)		Risk Owner: Assistant Director for Procurement & Contracts																							
Risk Rating (Impact x Likelihood) Unmitigated 4 x 4 Current Residual 4 x 2 Appetite 2 x 2 Potential Impact <i>Financial overspend, poor service provision and impacts on children</i>	<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>20/21 Q1</td><td>16</td><td>8</td><td>4</td></tr><tr><td>20/21 Q2</td><td>16</td><td>8</td><td>4</td></tr><tr><td>20/21 Q3</td><td>16</td><td>8</td><td>4</td></tr><tr><td>20/21 Q4</td><td>16</td><td>8</td><td>4</td></tr></tbody></table>	Quarter	Unmitigated	Residual	Appetite	20/21 Q1	16	8	4	20/21 Q2	16	8	4	20/21 Q3	16	8	4	20/21 Q4	16	8	4	<p><i>Rationale for current score: Brighter Futures for Children has seen an improvement in overall performance, as reflected in the move from being rated as ‘Inadequate’ to ‘Requires Improvement to be Good’ in the most recent ILACS inspection. However, there has still been a financial overspend in the last year and is still a large programme of work to address both service improvement and overall Company transformation. (NB: impact of Covid-19 not yet fully clear and ongoing). During lockdown and due to changes in staff, informal meetings in place between RBC officers and the BFfC Officers on Finance, SLA performance and Transformation update have not been held with the same regularity. Combined with a move away from the monthly Children’s Services Improvement Board, which provided oversight and partner support to the BFfC overall Improvement Plan</i></p> <p><i>Rationale for risk appetite: Delivery of services for Children is of the highest importance. Adherence to budget parameters is critical for both the Company and the Council to remain financially resilient.</i></p> <table border="1"><tr><td>Current RAG rating</td><td>RED</td></tr></table>		Current RAG rating	RED
Quarter	Unmitigated	Residual	Appetite																						
20/21 Q1	16	8	4																						
20/21 Q2	16	8	4																						
20/21 Q3	16	8	4																						
20/21 Q4	16	8	4																						
Current RAG rating	RED																								
Current Actions (What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual) <ul style="list-style-type: none">Contract governance arrangements have been set up to provide monthly reporting overviews on the BFfC finances, to enable early sight of any financial issues and concernsPart of the financial reporting includes updates on the delivery of the transformation plan to support both service improvements and efficienciesBFfC Board and RBC have requested mitigation plans to address any overspend, noting close work to date on Covid-19 costs and claim into MHCLG.A review of governance is to be undertaken to ensure current reporting is fit for purpose/ review where further changes ensure rigour whilst are appropriate for both parties		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities <table border="1"><thead><tr><th></th><th>Officer (s) responsible</th><th>Target date</th></tr></thead><tbody><tr><td>Review of BFfC formal governance and both formal and informal reporting</td><td>Chief Exec/ AD for Procurement & Contracts</td><td>Oct 2020</td></tr><tr><td>Continue to work with BFfC to ensure appropriate sharing of performance data and actions (both BFfC and RBC)</td><td>AD Procurement & Contracts/ Corporate Contracts Manager</td><td>Complete & ongoing</td></tr><tr><td>Agreement of the FY2122 Company Contract Sum and BFfC Business Plan</td><td>Exec Dir of Resources/ Chief Exec</td><td>Initial Plan Oct 2020</td></tr><tr><td>Support the Improvement of recruitment and retention of staff at all levels with BFfC via the HR support SLA</td><td>AD Procurement & Contracts/ AD for HR & OD</td><td>Ongoing</td></tr></tbody></table>			Officer (s) responsible	Target date	Review of BFfC formal governance and both formal and informal reporting	Chief Exec/ AD for Procurement & Contracts	Oct 2020	Continue to work with BFfC to ensure appropriate sharing of performance data and actions (both BFfC and RBC)	AD Procurement & Contracts/ Corporate Contracts Manager	Complete & ongoing	Agreement of the FY2122 Company Contract Sum and BFfC Business Plan	Exec Dir of Resources/ Chief Exec	Initial Plan Oct 2020	Support the Improvement of recruitment and retention of staff at all levels with BFfC via the HR support SLA	AD Procurement & Contracts/ AD for HR & OD	Ongoing							
	Officer (s) responsible	Target date																							
Review of BFfC formal governance and both formal and informal reporting	Chief Exec/ AD for Procurement & Contracts	Oct 2020																							
Continue to work with BFfC to ensure appropriate sharing of performance data and actions (both BFfC and RBC)	AD Procurement & Contracts/ Corporate Contracts Manager	Complete & ongoing																							
Agreement of the FY2122 Company Contract Sum and BFfC Business Plan	Exec Dir of Resources/ Chief Exec	Initial Plan Oct 2020																							
Support the Improvement of recruitment and retention of staff at all levels with BFfC via the HR support SLA	AD Procurement & Contracts/ AD for HR & OD	Ongoing																							

Risk 10: Adult Safeguarding - Risk of death harm or injury to vulnerable persons for whom we have a responsibility		Risk Owners: Executive Director of Social Care and Health		
Corporate Priority: Protecting and enhancing the lives of vulnerable adults and children				
<div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 5 x 5</div><div>Current Residual 5 x 2</div><div>Appetite 2 x 2</div><div>Potential Impact: Death or injury. Loss of reputation. Fines/penalties. Insurance claims. Legal challenges</div></div>	<div><div><div><div></div><div>25</div></div><div><div></div><div>20</div></div><div><div></div><div>15</div></div><div><div></div><div>10</div></div><div><div></div><div>5</div></div><div><div></div><div>0</div></div></div><div><div>20/21 Q1</div><div>20/21 Q2</div><div>20/21 Q3</div><div>20/21 Q4</div><div>19/20 Q3</div></div><div><div>Unmitigated</div><div>Residual</div><div>Appetite</div></div></div>	<div><div>Rationale for current score:</div><div>The nature of the business can result in vulnerable people being at risk of death or serious injury.</div><div>Rationale for risk appetite</div><div>Due to a number of measures being in place e.g. staffing, learning events, management oversight the risk appetite is low.</div><div><div>Current RAG rating</div><div>AMBER</div></div></div>		
<div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div> <div><div><div><div>A local Risk Enablement Panel (REP) is held for practitioners and managers to bring high risk cases for discussion and guidance.</div><div>A new West Berkshire wide Multi-Agency Risk Management (MARM) process has just been launched. The purpose of the Multi Agency Risk Management Frame is to support the individual and staff to reach agreement and adopt strategies around risk decision and the management of those risks where they are manageable. This This includes escalation to multiagency panel if required.</div><div>Oversight of Safeguarding Enquiries: The Safeguarding Manager now signs off all enquiry closures to ensure risks are mitigated and transferrable risks addressed at this key point in the safeguarding process.</div><div>The interim safeguarding lead is working directly with the safeguarding team to re-clarify process and ensure that all recording is of high quality and captured within client record systems.</div><div>New local procedure to be produced which standardises the process with regard to sharing outcomes of S42 enquiries with families. Also need to produce a template to share detail of high risk cases with senior management.</div><div>Monthly Safeguarding Managers meeting with Safeguarding lead and all TM and ATM to discuss practice, cases and management of safeguarding work across operational teams. Contracts team are also linked in to update on Provider concerns and share intelligence regarding pressures/ issues with providers.</div><div>Modern Day Slavery Transparency Statement written and approved by ACE in Jan 20. Updated pathway with digital referral portal has been shared with staff</div></div></div></div>		<div><div>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</div><div>Weekly meetings taking place between Head of Safeguarding and Deputy Director. All incoming concerns tracked daily - Performance Management of safeguarding work being revised and improved.</div><div>Learning from Safeguarding Adults Reviews is to be condensed and used to inform future training and learning for all frontline staff</div><div>Quality of Practice to be reviewed and action plan re: improvements to be reported into DMT.</div></div>	<div><div>Officer responsible</div><div>Deputy Director / Interim Head of Safeguarding</div><div>Deputy Director</div><div>Deputy Director</div></div>	<div><div>Target date</div><div>30.09.20</div><div>31.10.20</div><div>31.10.20</div></div>

Risk 11: Response to Infectious diseases - <i>Failure of the Council to respond effectively to Covid-19</i>		Risk Owners: Executive Director for Economic Growth & Neighbourhood Services													
Corporate Priority: <i>Ensuring the Council is fit for the future, Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children, Keeping Reading's environment clean, green and safe. Promoting great education, leisure and cultural opportunities for people in Reading</i>															
<div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 5 x 5</div><div>Current Residual 3 x 2</div><div>Appetite 2 x 2</div><div>Potential Impact: Death or injury. Loss of reputation. Insurance claims. Legal challenges</div></div>	<div><table><caption>Risk Rating Data</caption><thead><tr><th>Time Period</th><th>Unmitigated</th><th>Residual</th><th>Appetite</th></tr></thead><tbody><tr><td>20/21 Q1</td><td>25</td><td>8</td><td>4</td></tr><tr><td>20/21 Q2</td><td>25</td><td>6</td><td>4</td></tr></tbody></table></div>	Time Period	Unmitigated	Residual	Appetite	20/21 Q1	25	8	4	20/21 Q2	25	6	4	<div>Rationale for current score:</div> <div>We are likely to need to continue running some of our recovery activities for some time and may have additional responsibilities (e.g. test and trace)</div> <div>Rationale for risk appetite</div> <div>The risk appetite is low as wide ranging implications of the pandemic are high</div> <div><div>Current RAG rating</div><div>AMBER</div></div>	
Time Period	Unmitigated	Residual	Appetite												
20/21 Q1	25	8	4												
20/21 Q2	25	6	4												
<div>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</div> <div><ul style="list-style-type: none">Council stood up Gold-Silver-Bronze decision-making structure and Emergency Operations Centre. Resources were focussed on essential services. Other services adapted to new environment or temporarily suspended.In order to focus and guide the Council's response to the current Coronavirus Pandemic the Council instigated the Urgency Procedures in Article 7.7 of the Council's Constitution which allows for a smaller group of councillors to act as the Policy Committee and make decisions on behalf of other Committees and full Council.Community Hub established to manage food parcel deliveriesThames Valley Local Resilience Forum being supportedGOLD now standing back up given the escalating R number and changes to national guidance.</div>		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>Develop Test and Trace and the link in with support to vulnerable groups, monitoring of Schools re-opening, response to Adults and Children's Social Care concerns and PPE and any other response function that may arise.</td><td>GOLD</td><td>Ongoing</td></tr><tr><td>Delivery of the Outbreak Management Plan, initially monitored via the Outbreak Control Group, but now being integrated into GOLD</td><td>GOLD</td><td>Ongoing</td></tr><tr><td>Management of High-Risk Settings within the Borough, by officers identified in the Local Outbreak Management Plan. Proactive inspections carried out of private HRS.</td><td>SLG HRS team</td><td>Ongoing</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	Develop Test and Trace and the link in with support to vulnerable groups, monitoring of Schools re-opening, response to Adults and Children's Social Care concerns and PPE and any other response function that may arise.	GOLD	Ongoing	Delivery of the Outbreak Management Plan, initially monitored via the Outbreak Control Group, but now being integrated into GOLD	GOLD	Ongoing	Management of High-Risk Settings within the Borough, by officers identified in the Local Outbreak Management Plan. Proactive inspections carried out of private HRS.	SLG HRS team	Ongoing
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date													
Develop Test and Trace and the link in with support to vulnerable groups, monitoring of Schools re-opening, response to Adults and Children's Social Care concerns and PPE and any other response function that may arise.	GOLD	Ongoing													
Delivery of the Outbreak Management Plan, initially monitored via the Outbreak Control Group, but now being integrated into GOLD	GOLD	Ongoing													
Management of High-Risk Settings within the Borough, by officers identified in the Local Outbreak Management Plan. Proactive inspections carried out of private HRS.	SLG HRS team	Ongoing													

Risk 12: Recovery from Infectious diseases - <i>Failure of the Council to recover effectively to Covid-19</i>		Risk Owners: Director of Resources																
Corporate Priority: <i>Ensuring the Council is fit for the future, Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children, Keeping Reading's environment clean, green and safe. Promoting great education, leisure and cultural opportunities for people in Reading</i>																		
<p>Risk Rating (Impact x Likelihood)</p> <p>Unmitigated 5 x 5</p> <p>Current Residual 4 x 4</p> <p>Appetite 2 x 2</p> <p>Potential Impact: Death or injury. Loss of reputation. Insurance claims. Legal challenges</p>		 <table><caption>Risk Rating Data</caption><tr><th>Period</th><th>Unmitigated</th><th>Residual</th><th>Appetite</th></tr><tr><td>20/21 Q1</td><td>25</td><td>16</td><td>4</td></tr><tr><td>20/21 Q2</td><td>25</td><td>8</td><td>4</td></tr></table>		Period	Unmitigated	Residual	Appetite	20/21 Q1	25	16	4	20/21 Q2	25	8	4			
Period	Unmitigated	Residual	Appetite															
20/21 Q1	25	16	4															
20/21 Q2	25	8	4															
		<p>Rationale for current score:</p> <p>Unmet demand particularly in social care is likely to surface as lockdown is eased. Catching up with backlogs. Financial hardship likely to be a key issue for many.</p> <p>Rationale for risk appetite</p> <p>The risk appetite is low as wide ranging implications of the pandemic are high</p> <div>Current RAG rating AMBER</div>																
<p>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</p> <p>As lockdown restrictions were easing, services and sectors of the community/economy begin recovery at different times. Response and recovery overlap.</p> <ul style="list-style-type: none">Council adopted Covid-19 recovery and renewal strategy with 3 priorities:<ul style="list-style-type: none">Ensure the Council is resilient and fit for the futureCreate safe and thriving communitiesSecure Reading's economic futureEach of the Recovery Groups has an agreed remit via CMT to deliver its Terms of Reference. As part of this remit, it may redirect the work of programme boards to support transformational workstreams.Thames Valley Local Resilience Forum recovery efforts being supported.Recovery work will be re-prioritised based on the need to respond to national guidance or local data suggesting an increasing R rate.		<table><tr><th>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</th><th>Officer responsible</th><th>Target date</th></tr><tr><td>To deliver the safe unlocking of economic activity, seeking out transformational recovery, funding and renewal opportunities in order to 'build back better'.</td><td>Economic Recovery & Renewal Group</td><td>Ongoing</td></tr><tr><td>Moving the Council back to business as usual as quickly as possible, seeking out transformational recovery opportunities to 'build back better' and ensuring that the Team Reading values guide the Council's approach to recovery and renewal</td><td>Operational Recovery Group</td><td>Ongoing</td></tr><tr><td>Develop a strategic approach to a renewed partnership between the council, voluntary and community sector post COVID 19.</td><td>Social Impact, Voluntary & Community Recovery Group</td><td>Ongoing</td></tr><tr><td>Council to create a new corporate plan that looks to the future post Covid-19, becoming a virus resilient society alongside other big questions, e.g. how to create a fairer and more equal society, and the partnerships the Council need to forge to deliver this.</td><td>CMT</td><td>Ongoing</td></tr></table>		Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date	To deliver the safe unlocking of economic activity, seeking out transformational recovery, funding and renewal opportunities in order to 'build back better'.	Economic Recovery & Renewal Group	Ongoing	Moving the Council back to business as usual as quickly as possible, seeking out transformational recovery opportunities to 'build back better' and ensuring that the Team Reading values guide the Council's approach to recovery and renewal	Operational Recovery Group	Ongoing	Develop a strategic approach to a renewed partnership between the council, voluntary and community sector post COVID 19.	Social Impact, Voluntary & Community Recovery Group	Ongoing	Council to create a new corporate plan that looks to the future post Covid-19, becoming a virus resilient society alongside other big questions, e.g. how to create a fairer and more equal society, and the partnerships the Council need to forge to deliver this.	CMT	Ongoing
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date																
To deliver the safe unlocking of economic activity, seeking out transformational recovery, funding and renewal opportunities in order to 'build back better'.	Economic Recovery & Renewal Group	Ongoing																
Moving the Council back to business as usual as quickly as possible, seeking out transformational recovery opportunities to 'build back better' and ensuring that the Team Reading values guide the Council's approach to recovery and renewal	Operational Recovery Group	Ongoing																
Develop a strategic approach to a renewed partnership between the council, voluntary and community sector post COVID 19.	Social Impact, Voluntary & Community Recovery Group	Ongoing																
Council to create a new corporate plan that looks to the future post Covid-19, becoming a virus resilient society alongside other big questions, e.g. how to create a fairer and more equal society, and the partnerships the Council need to forge to deliver this.	CMT	Ongoing																

Risk 13: Cyber-attack results in service disruption, data loss or damage, financial loss and/or reputational damage		Risk Owners: AD Legal & Democratic Services (as Senior Information Risk Owner) and Chief Digital & Information Officer			
Corporate Priority: <i>Ensuring the Council is fit for the future, Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children, Keeping Reading's environment clean, green and safe. Promoting great education, leisure and cultural opportunities for people in Reading</i>					
<div>Risk Rating (Impact x Likelihood)</div> <div>Unmitigated 5 x 5</div> <div>Current Residual 4x4</div> <div>Appetite 2x3</div> <div>Potential Impact: Loss of service, loss of reputation, legal challenges, recovery costs</div>	<table><tr><td>Unmitigated</td></tr><tr><td>Residual</td></tr><tr><td>Appetite</td></tr></table>	Unmitigated	Residual	Appetite	<div>Rationale for current score: Likelihood of attempted attack on ICT (which is critical to service delivery) very high owing to high general threat level and attractiveness of public sector as target, action is needed to enhance security awareness, assurance, technical controls and preparedness to reduce probability and impact of successful attack</div> <div>Rationale for risk appetite: Possibility of attack cannot be eliminated given the agility of adversaries, but controls needed to minimise impact and enable swift recovery</div> <div>Current RAG rating<div>RED</div></div>
Unmitigated					
Residual					
Appetite					
<div>Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</div> <div><ul style="list-style-type: none">Our current ICT infrastructure incorporates security controlsSecurity governance has been strengthened with the establishment of the Information Governance Board, which will review policy and strategy relating to cyber security, and also monitor reports of security incidents to identify corrective actionAD Legal & Democratic Services has been appointed as cyber security champion for CMT, and a similar role will be played in Council by the Lead Member for Corporate & Customer ServicesAn independent review of cyber security has been undertaken by ContextIS, its conclusions informing both some of the actions already taken and those plannedA security training programme has been launched for staff and councillors in July 2020.</div>		<div>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</div> <div>Monitor and drive take up of staff and member training; this is not yet at a level sufficient to reduce risk probability; reminder communications are being issued.</div> <div>Short-term/tactical improvements to technical controls, in line with ContextIS report</div> <div>Strategic improvements to controls included in ICT Future Operating Model contracts</div> <div>Security strategy developed (which will inform further risk mitigations), aligned with Future Operating Model supplier selection</div>	<div>Officer responsible</div> <div>Chief Digital & Information Officer</div> <div>Chief Digital & Information Officer</div> <div>Chief Digital & Information Officer</div> <div>Chief Digital & Information Officer</div>	<div>Target date</div> <div>Ongoing</div> <div>31.10.20</div> <div>31.12.20</div> <div>31.12.20</div>	

Risk 14: Delay in implementation of ICT Future Operating Model causes disruption in service or additional cost		Risk Owners: Chief Digital & Information Officer													
Corporate Priority: <i>Ensuring the Council is fit for the future</i>															
<div><div><div>Risk Rating (Impact x Likelihood)</div><div>Unmitigated 4 x 3</div><div>Current Residual 4 x 2</div><div>Appetite 4 x 1</div><div>Potential Impact: Loss of reputation. Insurance claims. Legal challenges</div></div><div><table><thead><tr><th>Time Period</th><th>Unmitigated</th><th>Residual</th><th>Appetite</th></tr></thead><tbody><tr><td>20/21 Q1</td><td>12</td><td>8</td><td>5</td></tr><tr><td>20/21 Q2</td><td>12</td><td>8</td><td>5</td></tr></tbody></table></div></div> <div><div>Rationale for current score: Highly compressed timeframe for procurement of Future Operating Model and no opportunity to extend current arrangements (though provision exists for extended transition support, reducing risk)</div><div>Rationale for risk appetite: Low because the criticality of ICT to the organisation has been underlined by the covid-19 experience, which has also increased that dependence</div><div>Current RAG rating<div>AMBER</div></div></div>		Time Period	Unmitigated	Residual	Appetite	20/21 Q1	12	8	5	20/21 Q2	12	8	5		
Time Period	Unmitigated	Residual	Appetite												
20/21 Q1	12	8	5												
20/21 Q2	12	8	5												
<div>Current Actions (<i>What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual</i>)</div> <div><ul style="list-style-type: none">External advisers engaged to ensure procurement process adequately resourcedOperating Model designed to allow rapid procurements using public sector frameworksTransition governance in place and exit manager appointed by incumbent Northgate; preparatory planning discussions progressing wellPreferred bidder for Hosting contract - the first procurement - has been identified on time</div>		<div>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</div> <table><tr><td>Completion of procurements in line with schedule</td><td>Chief Digital & Information Officer</td><td>30.11.20</td></tr><tr><td>Enhancement of internal ICT function to implement and manage new model</td><td>Chief Digital & Information Officer</td><td>31.12.20</td></tr><tr><td>Agreement of exit plan with Northgate, with appropriate risk management plans</td><td>Chief Digital & Information Officer</td><td>31.12.20</td></tr></table>	Completion of procurements in line with schedule	Chief Digital & Information Officer	30.11.20	Enhancement of internal ICT function to implement and manage new model	Chief Digital & Information Officer	31.12.20	Agreement of exit plan with Northgate, with appropriate risk management plans	Chief Digital & Information Officer	31.12.20				
Completion of procurements in line with schedule	Chief Digital & Information Officer	30.11.20													
Enhancement of internal ICT function to implement and manage new model	Chief Digital & Information Officer	31.12.20													
Agreement of exit plan with Northgate, with appropriate risk management plans	Chief Digital & Information Officer	31.12.20													