

<p>Risk 1: <i>The council does not create and deliver a sustainable Medium-Term Financial Plan and/or achieve a balanced budget.</i></p>		<p>Risk Owner: Director of Finance</p>																				
<p>Corporate Priority: <i>Ensuring the Council is fit for the future</i></p>																						
<p>Risk Rating (Impact x Likelihood)</p> <p>Unmitigated 5 x 5</p> <p>Current Residual 3 x 2</p> <p>Appetite/Target 4 x 1</p> <p>Potential Impact</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 Score Data</caption> <thead> <tr> <th>Date</th> <th>Actual Score</th> <th>Target Score</th> <th>Inherent Score</th> </tr> </thead> <tbody> <tr> <td>Jun 20</td> <td>20</td> <td>5</td> <td>25</td> </tr> <tr> <td>Sep 20</td> <td>20</td> <td>5</td> <td>25</td> </tr> <tr> <td>Dec 20</td> <td>20</td> <td>5</td> <td>25</td> </tr> <tr> <td>Mar 21</td> <td>6</td> <td>5</td> <td>25</td> </tr> </tbody> </table>		Date	Actual Score	Target Score	Inherent Score	Jun 20	20	5	25	Sep 20	20	5	25	Dec 20	20	5	25	Mar 21	6	5	25
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<p>Current RAG rating AMBER</p>	<p>Current Actions/update <i>(What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual)</i></p> <ul style="list-style-type: none"> • Monthly meetings to review savings • Risk profiles, contingencies and reserves identified. • The Council has set a balanced budget for 2021/22 at its council meeting in Feb 2021. The delivery of this budget is not without risk due to the ongoing pandemic and there are a significant number of savings that will need to be delivered to achieve this • The 2021/22- 2023/24 MTFs does not balance in the latter 2 years and further ongoing savings of £3Million will need to be identified. Assumptions on future funding will also have to be reassessed during 2021. 																					

Risk 2: *Insufficient or lack of capable staff resources to deliver our services in an effective and efficient manner*

Risk Owner: Assistant Director of HR & Organisational Development

Corporate Priority: *Ensuring the Council is fit for the future*

Risk Rating (Impact x Likelihood)

Unmitigated 4 x 5

Current Residual 3 x 3

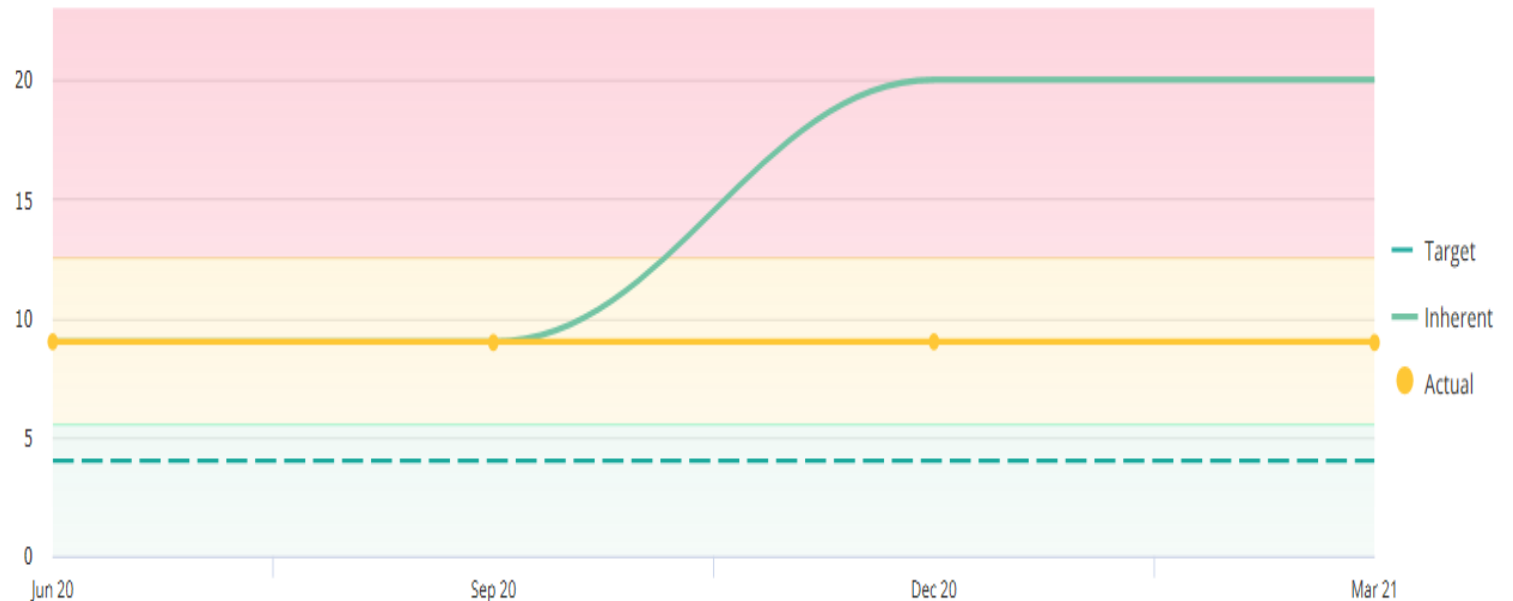
Appetite/Target 3 x 2

Potential Impact

Failure to meet demand. Statutory duties not met. Negative impact on staff motivation and stress related illness.

Current RAG rating

AMBER



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

- Significant number of fundamental service reviews and management restructures in 2021
- Performance appraisals looking to achieve 100%
- Employee benefit programme
- HR and OD transformation plan in progress which aims to increase OD capacity to support achievement of a high performing, highly skilled and motivated workforce
- Access to pool of appropriately qualified temporary staff via agency contract (new contract starts from February 2021).
- 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 CMT
- Resourcing 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

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/
AD for Digital and IT

Corporate Priority: *Ensuring the Council is fit for the future*

Risk Rating (Impact x Likelihood)

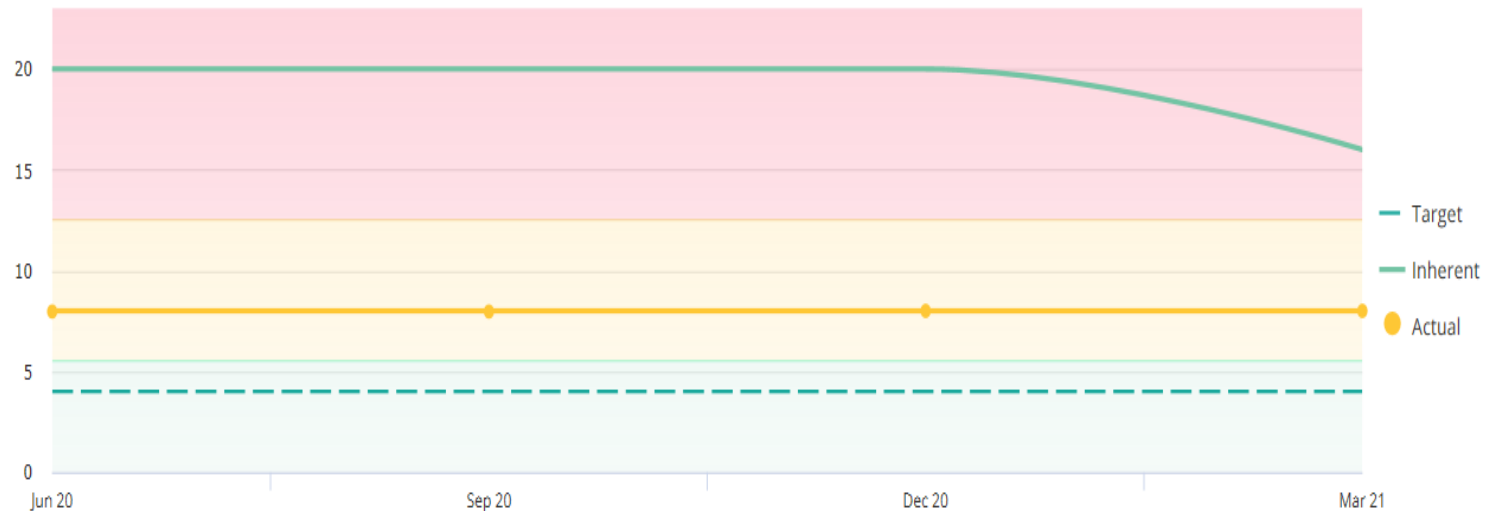
Unmitigated 5 x 4

Current Residual 4 x 2

Appetite/Target 3 x 2

Potential Impact

Fines/penalties, reputation damage, service failure. Wasted time and cost involved in responding to service failure.



Current RAG rating AMBER

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

- 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. Ongoing
- 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. Complete
- Information Governance Board (IGB) set up to oversee delivery of IG strategy and compliance - Complete
- Subject Access Request policy and Breach Management policy reviewed by IGB. Further training to be delivered to staff. In progress
- 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. Ongoing
- 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. Ongoing
- Strategic review of all IG strategy/functions/roles/action plan being reported through Policy and Audit and Governance. Ongoing
- Review of information governance taking place through IGB and overlaps with Smarter Working project (O365 benefits realisation) mapped - In progress
- 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. In progress
- Records of processing activities (ROPA) being further developed by DPO and will help to identify Information Asset Owners within Services. In progress

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/ 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*

Risk Rating (Impact x Likelihood)

Unmitigated 5 x 4

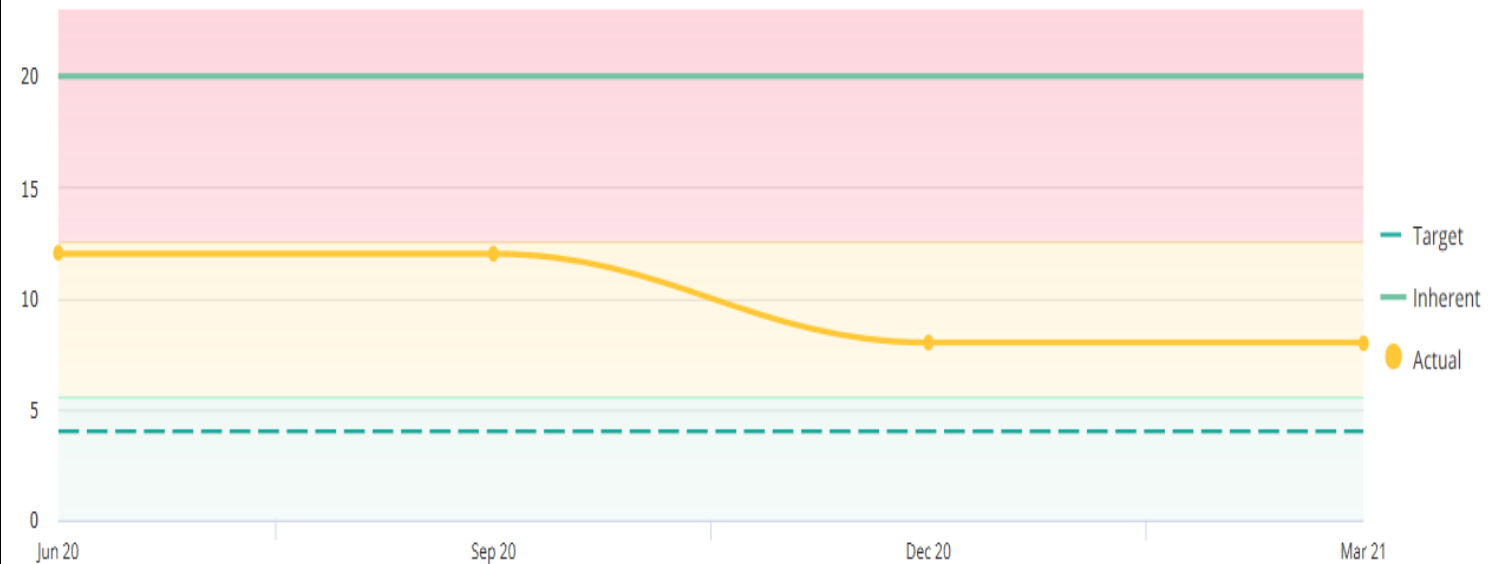
Current Residual 4 x 2

Appetite/Target 2 x 2

Potential Impact

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

Current RAG rating AMBER

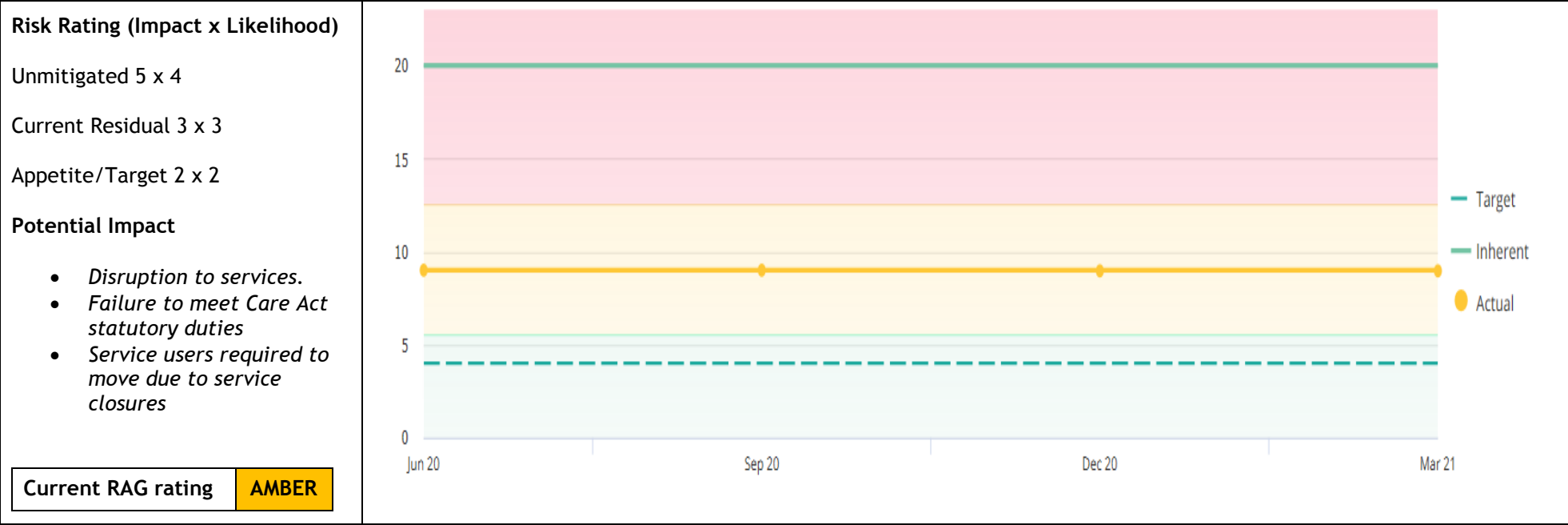


Current Actions/updates (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- 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 staff
- Strategic risk register to be kept up to date and reviewed promptly
- Ongoing review of HR policies through Personnel Committee have been scheduled and programmed for agreement
- 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
- Review of the Code of Corporate Governance has been commissioned to look at best practice policies, processes and procedures in the Council

Risk 5: Social care provider failure and market instability	Risk Owners: Assistant Director Commissioning, Transformation & Performance (DACHS)
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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.*



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

- Sustainability of the marketplace is being reviewed through regular communications with providers alongside focused discussions in relation to Business Continuity plans.
- The extension of infection control funding alongside additional government funding streams for covid testing and workforce resilience are supporting financial sustainability of providers.
- Annual quality assessments have continued during the pandemic, identifying any immediate issues or potential risks.
- Targeted support is mobilized where specific sustainability issues arise

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 3 x 3

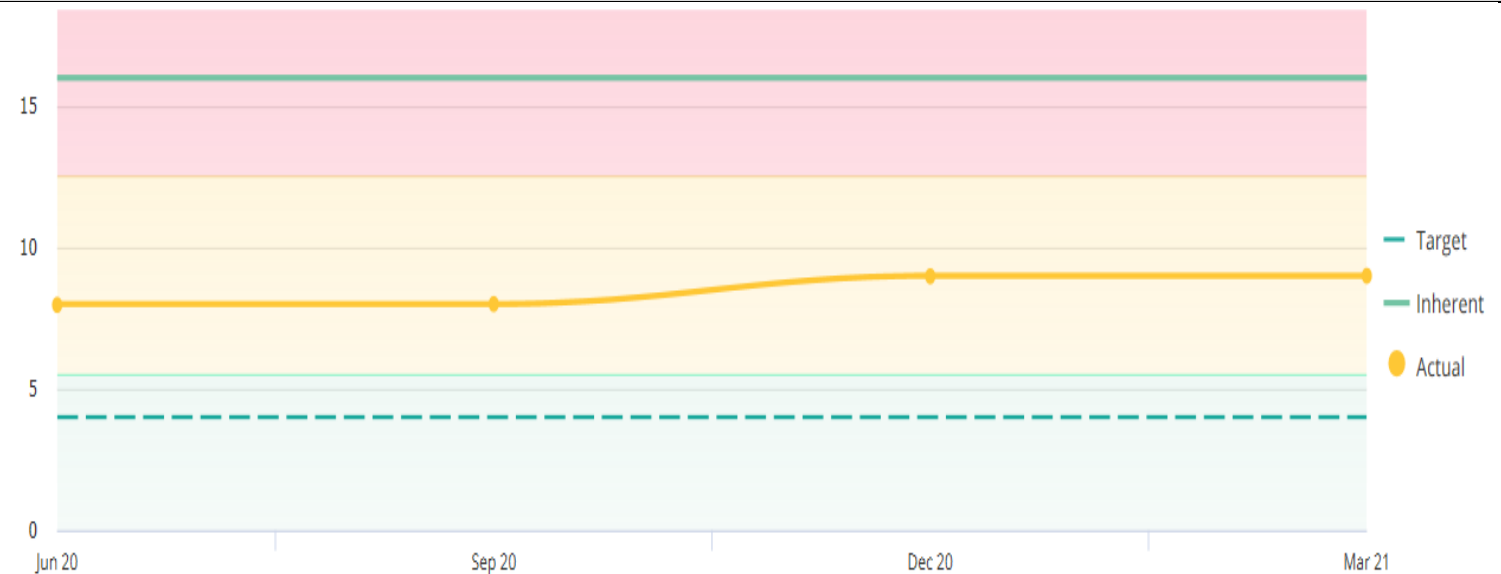
Appetite/Target 2 x 2

Potential Impact

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

Current RAG rating

AMBER



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

- The ongoing pandemic, and the national lockdowns and local restrictions arising from this, continue to suppress economic activity within Reading and place businesses and employment at risk.
- While the evidence suggests that Reading is relatively resilient and has the capacity to recover quickly, the longer these restrictions apply, the greater the risks to the economy and employment will be.
- The National Roadmap out of lockdown does however suggest that an end is in sight.
- The Council has sought to support the business community by promptly distributing financial support made available by government via local authorities, and to plan for the recovery and renewal of the local economy by working with our partners in Reading UK.
- To this end the Council endorsed the economic recovery strategy 'Powered by People', prepared by Reading UK, in September 2020, and is now working with other partners to implement the strategy.
- The Mar budget gave further details of national infrastructure funding streams and it will be important for Reading to pursue all of those for which we are eligible.

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 & Communities

Corporate Priority: *Improving access to decent housing to meet local needs*

Risk Rating (Impact x Likelihood)

Unmitigated 5 x 4

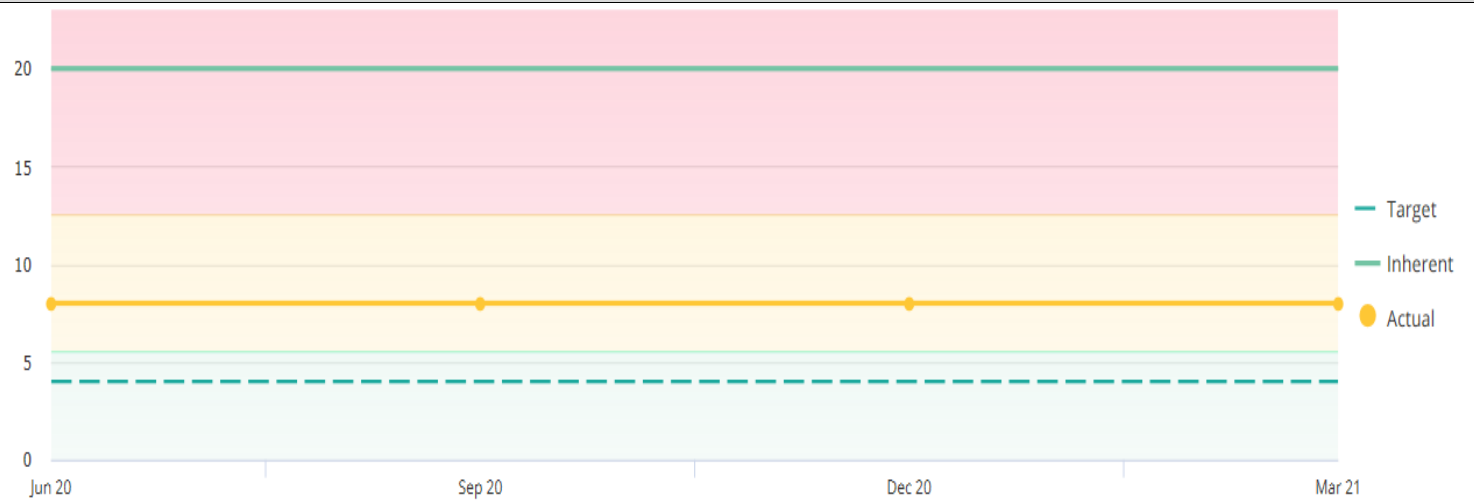
Current Residual 4 x 2

Appetite/target 4 x 1

Potential Impact

Death/Injury to individuals and/or non-compliance with relevant legislation

Current RAG rating AMBER



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

- Fire Risk Assessments are up to date and any urgent actions have been completed.
- Fire protection works are proceeding as planned
- Rolling block inspections, fire alarm testing and emergency lighting tests are up to date and continue

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: *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*

Risk Rating (Impact x Likelihood)

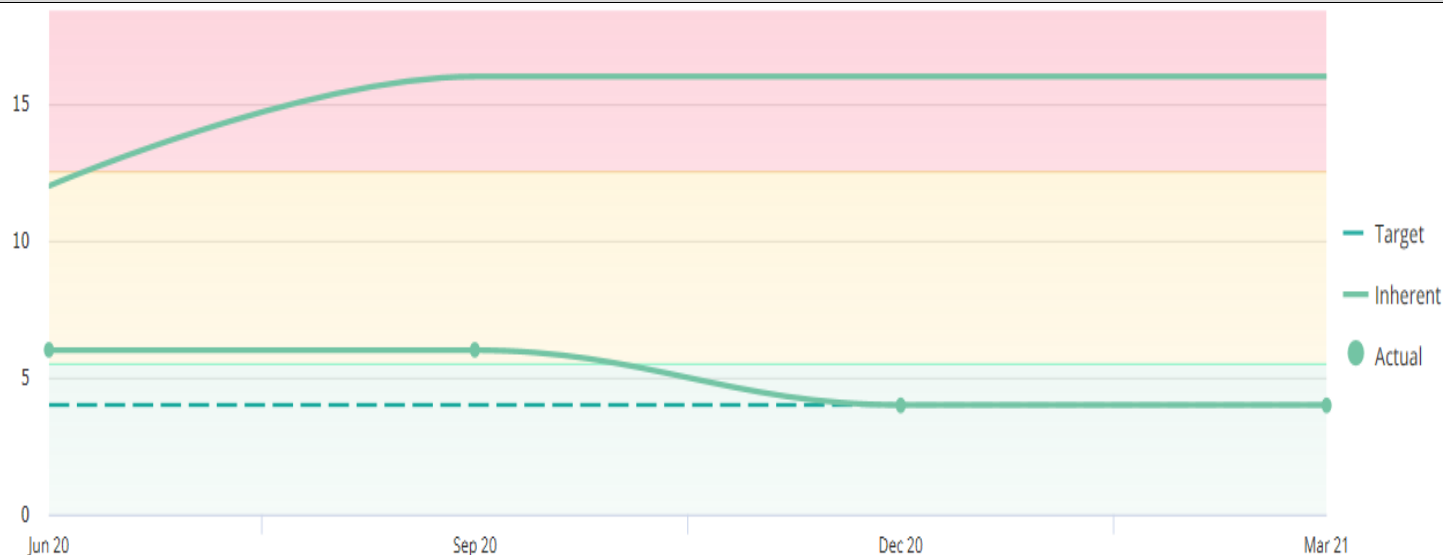
Unmitigated 4 x 4

Current Residual 2 x 2

Appetite 2 x 2

Potential Impact

Community needs not met Negative impact on community cohesion which could lead to extremism. Increased risk of failure of voluntary sector umbrella support



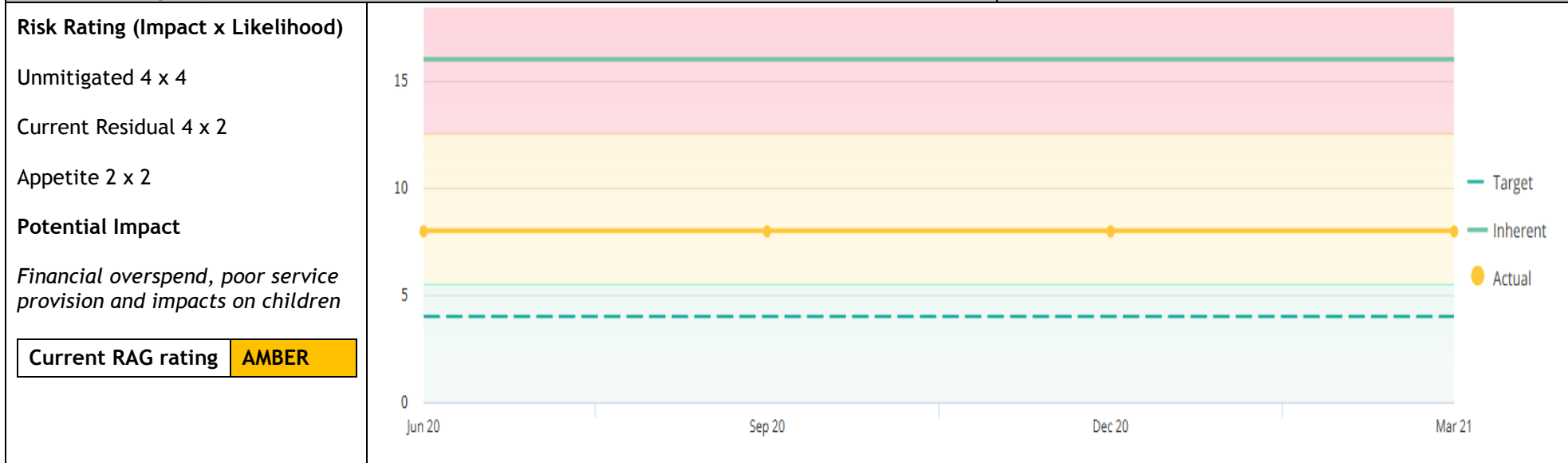
Current RAG rating GREEN

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

- As part of the Councils C19 response and recovery a Social Impact Board has been set up to ensure partners, via VCS, CCG, NHS PH, are working together on a joint set of priorities.
- The Social Impact Board has met and agreed a programme plan which is on track.
- Work is now underway to review and maximise the newly invigorated relationship developed through the Pandemic with the VCS.

Risk 9: BfC - 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

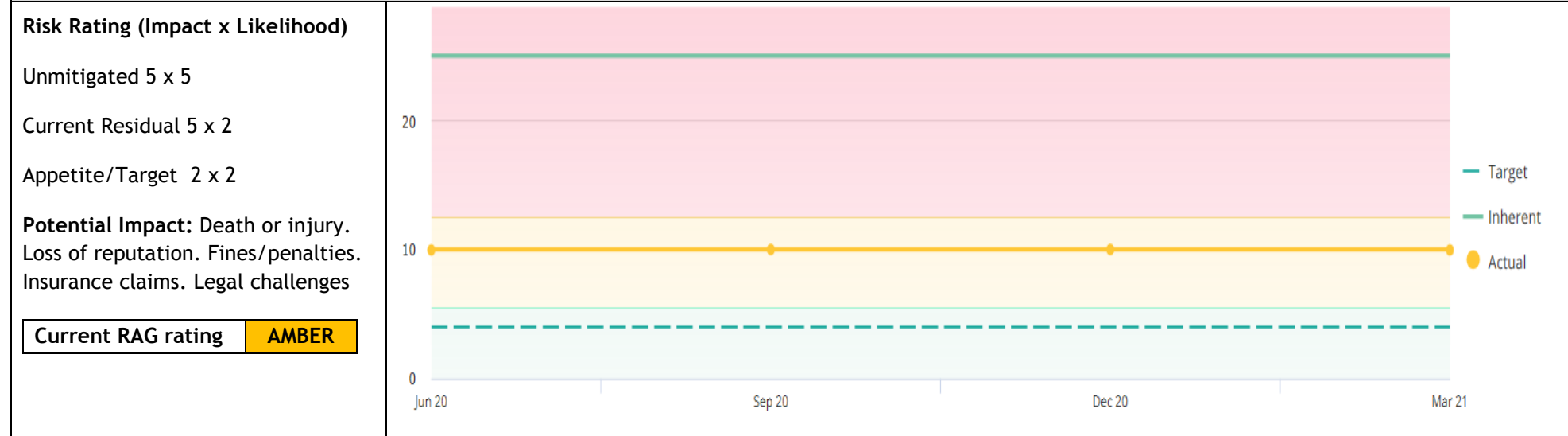


Current Actions/Update (*What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual*)

- 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.
- There has still been a financial overspend in the last year albeit the recovery plan to address this is well progressed and on target to address the current year financial pressures.
- There remains a large programme of work to address both service improvement and overall Company transformation, with the impact of Covid-19 not yet fully clear and ongoing.
- The FY2021-22 Contract Sum has been agreed subject to member/ Council approval and an updated and revised Business Plan is due to be agreed in March 2021, which should help provide a firm base for further performance improvement.

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
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Corporate Priority: *Protecting and enhancing the lives of vulnerable adults and children*



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

- A local Risk Enablement Panel (REP) is held for practitioners and managers to bring high risk cases for discussion and guidance.
- 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.
- 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.
- 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.
- 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.
- 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.

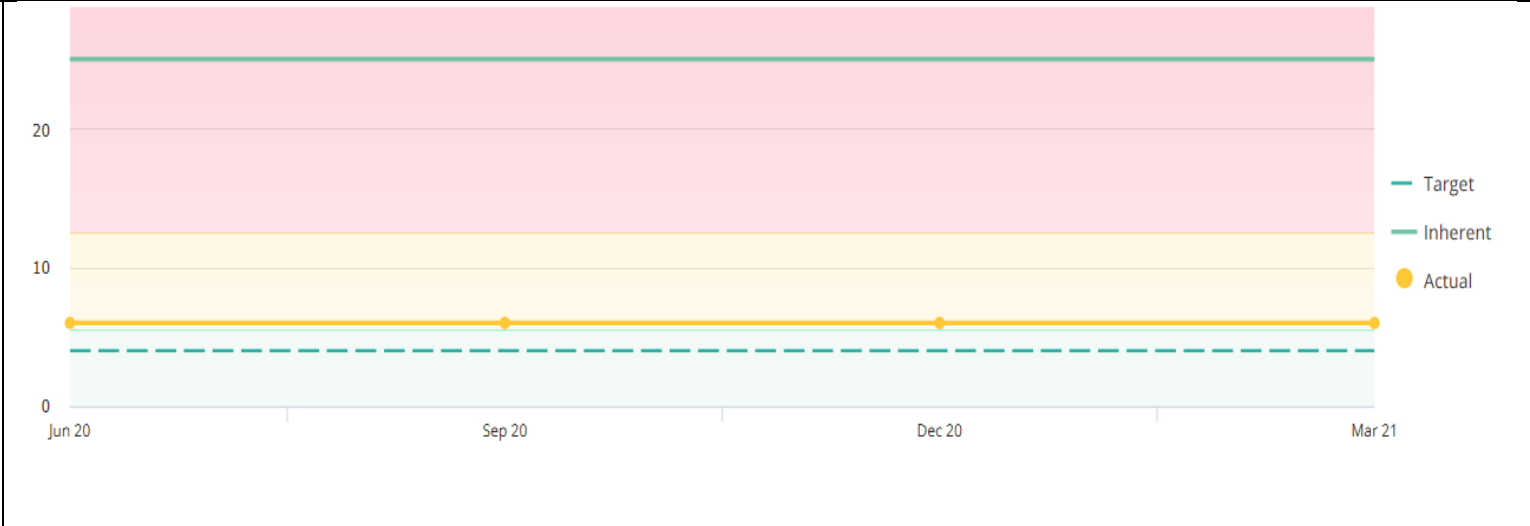
Risk 11: Response to Infectious diseases - Failure of the Council to respond effectively to Covid-19 **Risk Owners:** Executive Director for Economic Growth & Neighbourhood Services

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

Risk Rating (Impact x Likelihood)
 Unmitigated 5 x 5
 Current Residual 3 x 2
 Appetite 2 x 2

Potential Impact: Death or injury. Loss of reputation. Insurance claims. Legal challenges

Current RAG rating **AMBER**



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

- Emergency response structure established
- Thames Valley Local Resilience Forum being supported
- One Reading Community Hub remains in Operation to support vulnerable people specifically through lockdown. LA's are required to support Clinically Extremely Vulnerable residents, with support to access priority food shopping slots, or provide food parcels via Voluntary Sector Partners. The VCS partner network including CCG meets weekly to discuss emerging issues. Providing a range of support to tackle social isolation, practical support such as taxi services and mental and physical health support.
- Local test and trace system implemented via the Councils call centre
- Lateral Flow testing sites established at 2 locations in the borough with a third location currently being scoped.

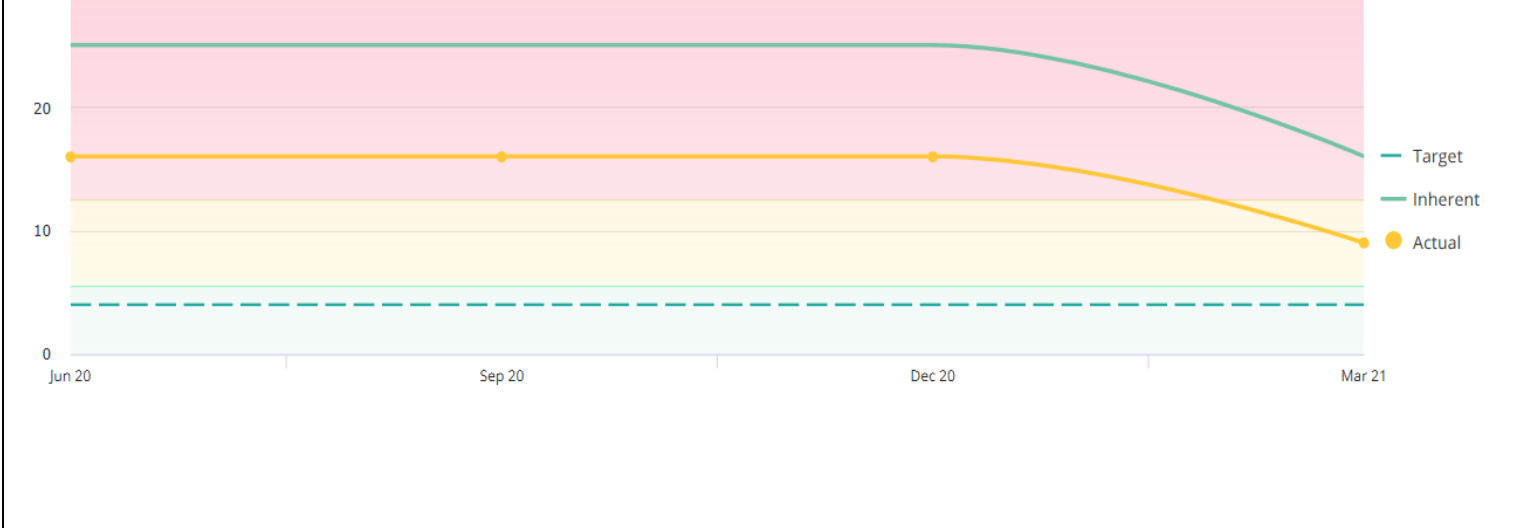
Risk 12: Recovery from Infectious diseases - Failure of the Council to recover effectively to Covid-19 **Risk Owners: Director of Resources**

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

Risk Rating (Impact x Likelihood)
 Unmitigated 4 x 54
 Current Residual 3 x 3
 Appetite 2 x 2

Potential Impact: Death or injury. Loss of reputation. Insurance claims. Legal challenges

Current RAG rating **AMBER**



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

- The organizational recovery group has assessed services compliance with covid secure criteria and put into place control measures which mitigate any impacts.
- The other recovery groups supporting economic recovery and renewal and social impact continue to monitor changes in the governments approach to recovery including delivering grants and support services.
- The government has set out its roadmap for recovery which the council is responding to and supporting other services such as the NHS in the rollout of vaccinations.

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: *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*

Risk Rating (Impact x Likelihood)

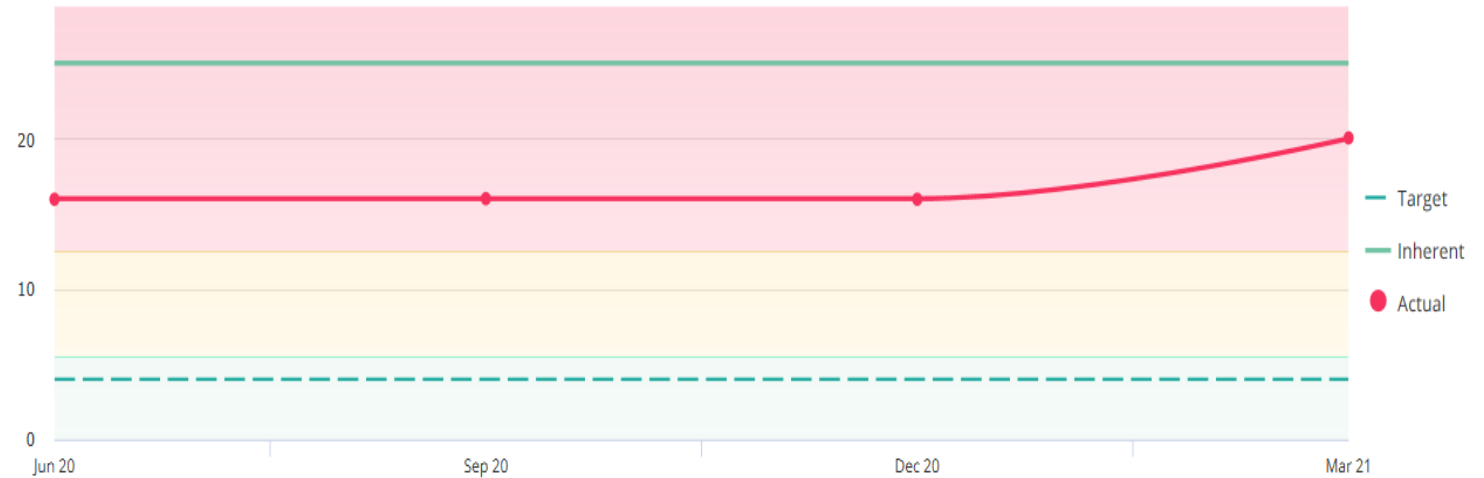
Unmitigated 5 x 5

Current Residual 5x4

Appetite 2x3

Potential Impact: Loss of service, loss of reputation, legal challenges, recovery costs

Current RAG rating RED



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

- Current impact increased to 5 to reflect recent learning from incidents such as those experienced by Haringey and Redcar & Cleveland ransomware attack. The proposed contingency planning action would reduce this.
- Likelihood remains high. While all technical measures that can sensibly be taken prior to transition to the ICT Future Operating Model have been taken, training takeup amongst staff and members remains worryingly low despite ongoing communications.
- A phishing test undertaken in March indicated that training and communications had had some impact but that we still fell short of the target standard
- Our current ICT infrastructure incorporates security controls
- Security 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 action
- AD 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 Services
- An independent review of cyber security has been undertaken by ContextIS, its conclusions informing both some of the actions already taken and those planned

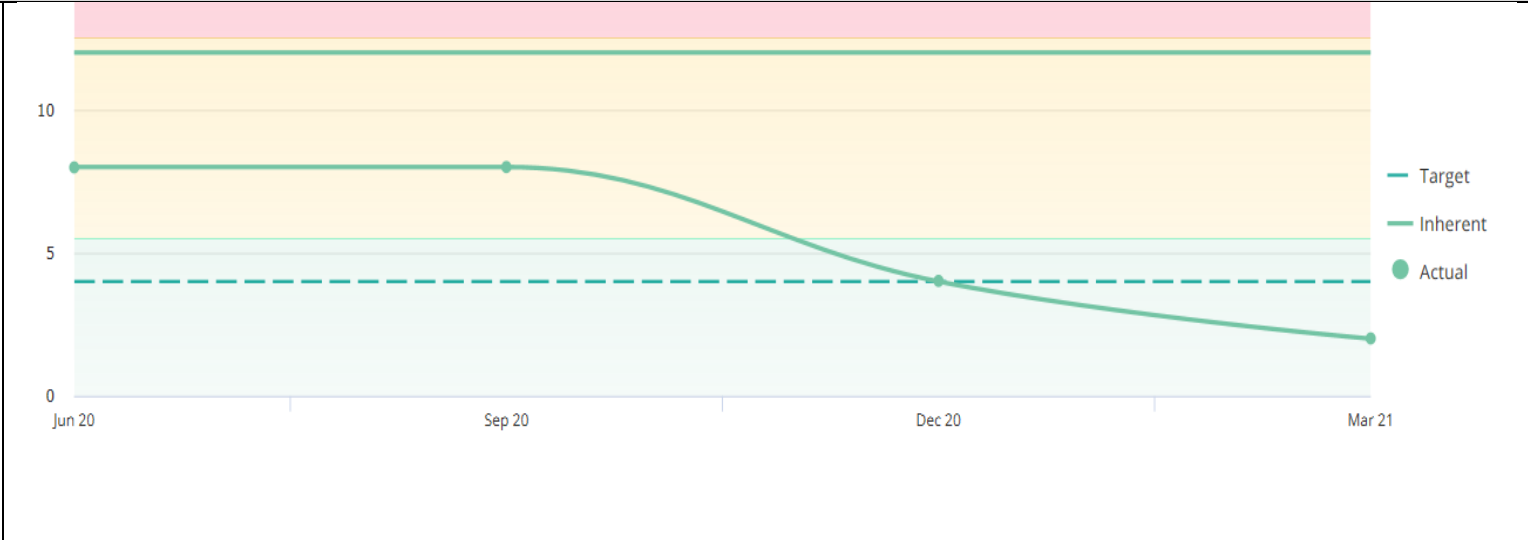
Risk 14: Delay in implementation of ICT Future Operating Model causes disruption in service or additional cost **Risk Owners: Chief Digital & Information Officer**

Corporate Priority: *Ensuring the Council is fit for the future*

Risk Rating (Impact x Likelihood)
 Unmitigated 4 x 3
 Current Residual 2 x 1
 Appetite 2 x 2

Potential Impact: Death or injury. Loss of reputation. Insurance claims. Legal challenges

Current RAG rating **GREEN**



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

- All providers have been appointed.
- Transition is in progress and on target; there are contingency plans in place for any delays.
- The TUPE process has caused delay to the formation of the final internal organisation, but interim arrangements are being put in place to mitigate this.