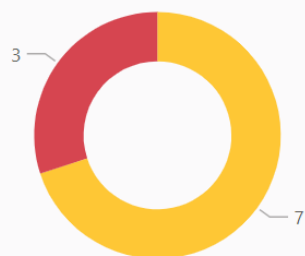


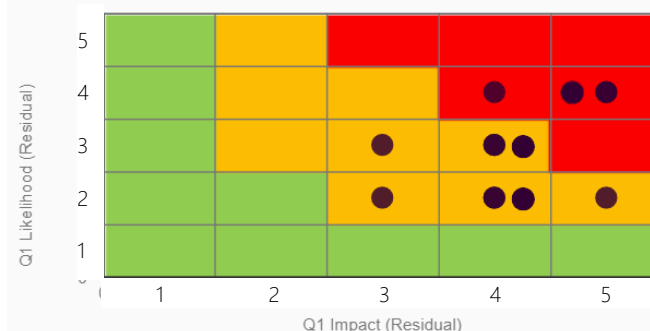


Strategic Risk Register - Summary

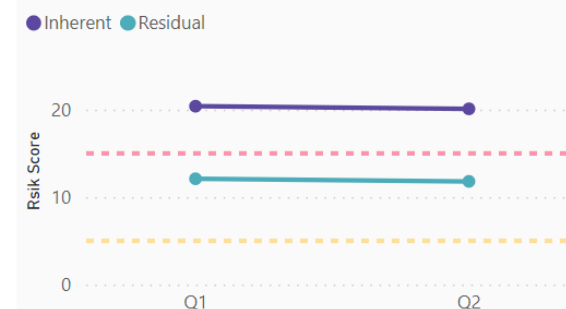
Register Risk Status (All risks)



Risk Matrix



Trend - Mean Risk Score (All Risks)



Ref	Risk	Q1 Residual	Q2 Residual	Q3 Residual	Q4 Residual	Current RAG
SR1	Budget - Not achieving the budget savings, controlling costs and achieving income targets.	20	20	0	0	Red
SR9	Cyber - Risk of loss from cyber attack	20	20	0	0	Red
SR6	Climate Risk – Failure to adapt to the impacts of climate change and deliver zero carbon commitments with negative impacts for residents and businesses, and for Council services, infrastructure and reputation.	16	16	0	0	Red
SR2	Staffing - Failure to retain and recruit suitably qualified staff	12	12	0	0	Yellow
SR5	Inequality - Reducing levels of inequality	12	12	0	0	Yellow
SR7	Safeguarding - Safeguarding vulnerable children and adults	10	10	0	0	Yellow
SR3	Information Governance - Failure to protect personal data	8	8	0	0	Yellow
SR4	Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.	8	8	0	0	Yellow
SR10	ICT -Failure to improve the quality of ICT	9	6	0	0	Yellow
SR8	Emergencies - Protecting the public from covid 19 and impact of significant additional waves of infections	6	6	0	0	Yellow



Budget - Not achieving the budget savings, controlling costs and achieving income targets.

20

Current Risk Score

Risk Ref

SR1

Corporate Priority

Our Foundations

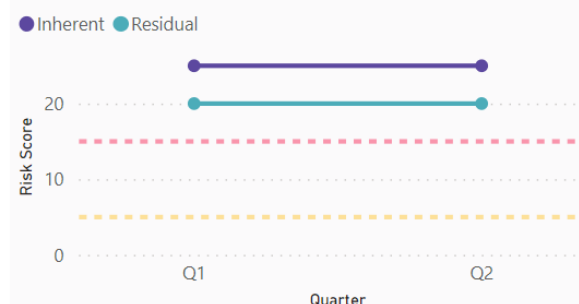
Risk Owner

Director of Finance

Potential Impact

Strategic objectives and statutory duties not met.
Council unable to set legal budget. Service or services failure

Trends - Risk Scores



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	5	5		
Inherent	25	25	0	0
Impact (Residual)	5	5		
Likelihood (Residual)	4	4		
Residual	20	20	0	0

Current Actions and Mitigation

- 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.

Go back

SR1



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Filters



Staffing - Failure to retain and recruit suitably qualified staff

12

Current Risk Score

Risk Ref

SR2

Corporate Priority

Our Foundations

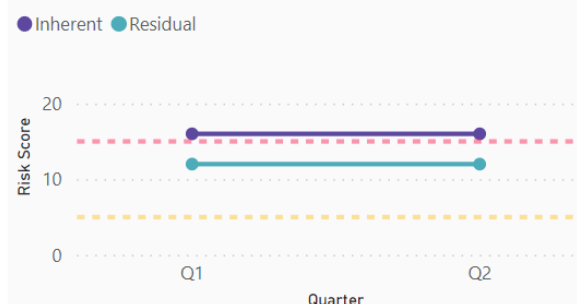
Risk Owner

Assistant Director of HR & Organisational Development

Potential Impact

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

Trends - Risk Scores



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	4	4		
Likelihood (Inherent)	4	4		
Inherent	16	16	0	0
Impact (Residual)	4	4		
Likelihood (Residual)	3	3		
Residual	12	12	0	0

Current Actions and Mitigation

- Labour shortages nationally in a number of key areas, which have arisen as a result of Brexit and/or Covid, could impact on the Council's ability to deliver some services as a result of recruitment/retention issues. This includes Refuse Drivers who require an HGV license, surveyors, engineers and trade staff. HR is monitoring these areas very closely, alongside the relevant Assistant Directors, to track any issues with recruitment or retention so that we can respond quickly if needed.
- Resourcing strategy and highly experienced Resourcing team in place which aims to ensure jobs are advertised as widely as possible through a range of online channels. Time to fill (advert to start date) has reduced from around 100 days to an average of 67 days. Success rate of recruitment for the majority of roles has increased from 50% to 80%.
- Team Reading Programme established to support delivery of the People Strategy which aims to achieve a highly skilled, happy and motivated workforce. Programme governance in place through monthly Programme Board chaired by the Deputy Chief Executive
- Access to pool of appropriately qualified temporary staff via agency contract which was re-procured in February 2021 to ensure quality and best value
- Work to improve equality, diversity and inclusion of the Council's workforce is underway which aims to ensure we seek the best talent from the widest pool of people
- Staff Survey carried out in April 2021 to measure engagement of current workforce. Many positive results with action plans in place to address 4 corporate areas to improve
- Improved HR management information provided to managers to enable more effective monitoring of turnover, absence trends etc so that any areas of concern can be identified and acted upon quickly
- Performance management process being overhauled and will include assessment against Team Reading values, with launch planned for December 2021

[Go back](#)
[SR2](#)


[Alpha] Strategic Risk - for print | Data updated 21/09/21



Filters



Information Governance - Failure to protect personal data

8

Current Risk Score

Risk Ref

SR3

Corporate Priority

Our Foundations

Risk Owner

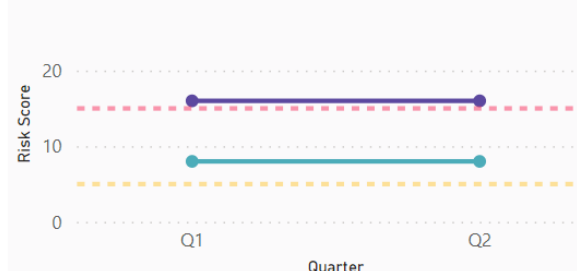
AD of Legal & Democratic services , AD for Digital and IT

Potential Impact

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

Trends - Risk Scores

● Inherent ● Residual



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	4	4		
Likelihood (Inherent)	4	4		
Inherent	16	16	0	0
Impact (Residual)	4	4		
Likelihood (Residual)	2	2		
Residual	8	8	0	0

Current Actions and Mitigation

- 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
- Oversight from the Audit and Governance Committee on a quarterly basis. Ongoing.
- Face to Face Data Protection refresher training is available for staff as and when needed. Ongoing.
- 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. Slipped due to staff turnover.
- 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

← Go back

≡ SR3



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Filters



Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.

8

Current Risk Score

Risk Ref

SR4

Corporate Priority

Our Foundations

Risk Owner

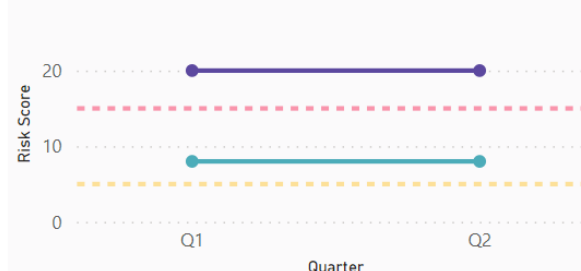
Assistant Director for
procurement and contracts

Potential Impact

Risk that the council fails to have in place appropriate oversight and scrutiny of its companies (Reading Buses, BfFC, Homes for Reading) is unaware of risks to those companies (pension fund deficits, GDPR compliance etc) and is impacted by an unplanned exposure relating to those companies

Trends - Risk Scores

Inherent Residual



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	4	4		
Inherent	20	20	0	0
Impact (Residual)	4	4		
Likelihood (Residual)	2	2		
Residual	8	8	0	0

Current Actions and Mitigation



Contract governance arrangements in place with BfFC to monitor Company performance, including monthly financial reporting and bi-monthly (once every 2 months)

Contract Management Group meetings. The financial reporting has greatly expanded and provides greater visibility of financial risks. Overspend related to Looked After Children is supported by relevant panel meetings with high cost placements to be signed off by the RBC Chief Exec.

Seeking to ensure greater consistency of Council Company oversight through review of respective Company Articles and governance

Taking proactive steps around Reading Buses following external review

Looking to review housing company later this financial year.

[Go back](#)
[SR4](#)


[Alpha] Strategic Risk - for print | Data updated 21/09/21



Inequality - Reducing levels of inequality

12

Current Risk Score

Risk Ref

SR5

Corporate Priority

Thriving Communities, Inclusive Economy

Risk Owner

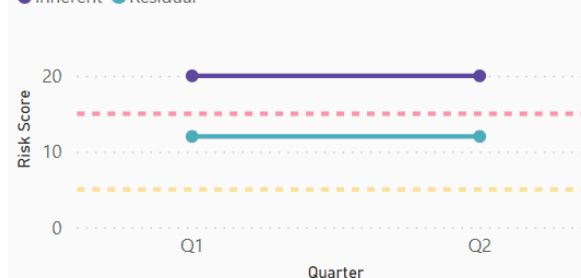
Deputy Chief executive

Potential Impact

Social and economic inequality can have profound effects on the welfare, quality of life and opportunities for individuals, families, communities and society as a whole.

Trends - Risk Scores

● Inherent ● Residual



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	4	4		
Inherent	20	20	0	0
Impact (Residual)	4	4		
Likelihood (Residual)	3	3		
Residual	12	12	0	0

Current Actions and Mitigation

- Social Impact and Voluntary and Community Sector Board (to be renamed) - Overarching aim is to enhance the lives of Reading residents and address the underlying causes of deprivation within the Borough, by adopting a place and asset based approach which meets local need, supports service transformation within demand led services, builds community capacity and resilience and develops our partnership working with the voluntary and community sector (VCS). Work Programme being established
- Corporate Debt Strategy adopted - One of the key aims is to prevent debt and support customers through financial awareness, money management support (delivered by VCS), direct financial support through benefits, debt collection strategies. Debt policy adopted in January 2021. Work programme being developed
- Narrowing the Gap - Commissioning framework with the VCS. Prospectus in development. Targeting key health outcomes and infrastructure to support customers to be self-reliant and develop community capacity.
- Small Grants Scheme - £100k Supporting VCS to deliver sustainable and targeted intervention in our 5 most deprived areas.
- Social Inclusion Steering Group - Analysis of needs within deprived areas and identification of gaps to identify activity required, financial crisis web resources in place- Money Matters and Click Before You Evict
- Health and Wellbeing Strategy - The Berkshire West Health & Wellbeing strategy addresses health inequalities through a number off priority workstreams. The Reading Integration board provides the oversight for the delivery against the Health & Wellbeing strategy.
- Housing Strategy - Community Development Team in place to tackle inequality in deprived council estate areas, debt and money advice provision to prevent homelessness, detached youth workers carry out community engagement with young people
- New Directions College provides skills and community education to adults aged 19+ in Reading.
- Reading Play provide play opportunities for 0 to 13 year olds through After School Clubs, Holiday Playclubs, and events such as the Summer Play Days. We ensure that all of Reading's children, young
- Libraries support children and adults with provision of free resources, including access to information, internet/wifi, and IT.
- Libraries provide free activities such as rhymetime and story time which support the development of children.
- Increasingly cultural services, including the museum, are adapting services for adults and children who are neurodiverse.
- Reading Museum provides a reminiscence service that can be sent out to care homes and other organisations around Reading supports interaction with older people and helps them to recover memories. The Reminiscence Boxes are delivered in partnership with Reading mobile library service. Reading Museum also offers free online training to anyone interested in finding out more about reminiscence and museum objects.
- Reading Museum regularly offers project work to schools in areas of deprivation and target areas that may benefit more from additional project work support is a founding member of the Cultural Education Partnership in Reading.



Climate Risk – Failure to adapt to the impacts of climate change and deliver zero carbon commitments with negative impacts for residents and businesses, and for Council services, infrastructure and reputation.

16

Current Risk Score

Risk Ref

SR6

Corporate Priority

Healthy Environment

Risk Owner

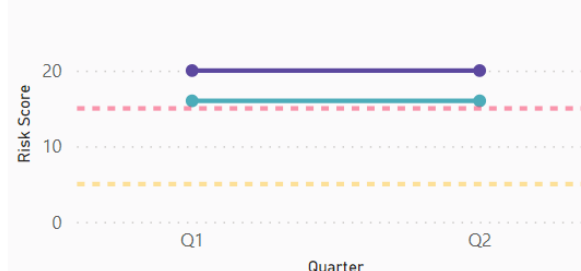
Executive Director for Economic
Growth & Neighbourhood
Services

Potential Impact

Climate change impacts are expected to have a range of negative social, economic and environmental consequences, up to and including loss of life, as well as amplifying other risks (e.g. to public health, economic security, service continuity, infrastructure and supply chains). Action to adapt can reduce impacts, though the likelihood of such impacts occurring remains high, and generally rising, in the context of a warming climate.

Trends - Risk Scores

● Inherent ● Residual



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	4	4		
Inherent	20	20	0	0
Impact (Residual)	4	4		
Likelihood (Residual)	4	4		
Residual	16	16	0	0

Current Actions and Mitigation



- Flood Risk: the Council is responsible for surface water flooding and produced a Local Flood Risk Management Strategy in 2015. Action has been taken in all but one of 6 'hotspots' identified and plans for works at the remaining site have been approved. Flash flooding from extreme rainfall events is likely to be an increasing but unpredictable risk. The Environment Agency is responsible for fluvial flooding and we are working with the Agency to address our main fluvial flood risks from the Thames.
- Heatwave risk: various local agencies, including the Council and NHS, participate in the Berkshire Heatwave Plan and England Heatwave Plan. As the severity and frequency of hot weather events increases, however, more action will be needed to protect vulnerable people and infrastructure.
- Extreme weather events: service continuity plans are in place to help prepare for such events but it will be important to ensure that these reflect the changing risk profile associated with climate change and extreme weather.
- Climate impact assessment in decision-making: a protocol for climate impact assessment in Committee reports requires is now in place and being used by report authors, enabling improved identification of impacts and mitigations.
- Planning policy and new development: the Reading Local Plan includes policies on climate change adaptation (CC3) and flood risk (EN18) designed to ensure that new development is resilient to climate impacts.
- Action to reduce emissions: the Council has comprehensive plans in place to reduce emissions via the Reading Climate Emergency Strategy and Carbon Plan adopted in 2020 but major challenges remain in resourcing the action required to deliver the ambitious goal of a net zero carbon Reading by 2030.

← Go back

≡ SR6



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Safeguarding - Safeguarding vulnerable children and adults

10

Current Risk Score

Risk Ref

SR7

Corporate Priority

Our Foundations, Thriving Communities

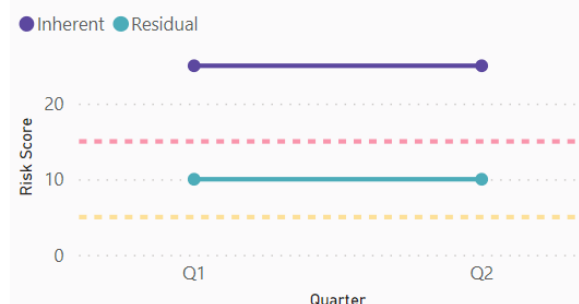
Risk Owner

Executive Director of Social Care and Health

Potential Impact

 Death or injury. Loss of reputation. Fines/penalties.
Insurance claims. Legal challenges

Trends - Risk Scores



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	5	5		
Inherent	25	25	0	0
Impact (Residual)	5	5		
Likelihood (Residual)	2	2		
Residual	10	10	0	0

Current Actions and Mitigation



- 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.
- Risks relating to children's services are managed by BFfC, who have their own risk management arrangements

Go back

SR7



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Emergencies - Protecting the public from covid 19 and impact of significant additional waves of infections

6

Current Risk Score

Risk Ref

SR8

Corporate Priority

Covid response and Recovery

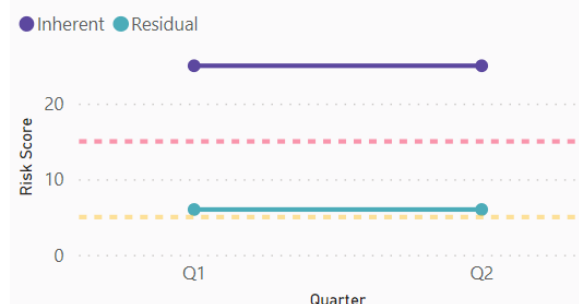
Risk Owner

Executive Director for Economic Growth & Neighbourhood Services

Potential Impact

Death or injury. Loss of reputation. Insurance claims. Legal challenges

Trends - Risk Scores



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	5	5		
Inherent	25	25	0	0
Impact (Residual)	3	3		
Likelihood (Residual)	2	2		
Residual	6	6	0	0

Current Actions and Mitigation

- Specific GOLD meetings stood down with a SILVER operating on a weekly basis and reporting into CMT and Leadership.
- MTUs and LTS's still active and relocation plans being considered as testing likely to continue until 2023.
- Continue to support vaccine rollout and use data to consider where hesitancy exists
- Local Contact Tracing still 7 days a week, but likely to reduce to 5
- Service delivery and risk assessments sit with Services/Directorate decision making
- Updates undertaken of the Local Outbreak Management Plan
- Outbreak management arrangements in place, but scaled back to a 5 day service
- Provision of PPE continues
- Emergency response structure continues to operate
- Thames Valley Local Resilience Forum being supported
- Support remains available for those who are isolating at home via the One Reading community hub
- Local contact service remains in place and which includes proactive offer of support to anyone required to isolate in the Borough
- Testing infrastructure in Reading in place and adapting to changes in national testing strategy. At present the two Local Testing Sites are having leases extended and the Community Testing site for LFD testing at Town Hall remains open. Surge testing has been undertaken when needed
- 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 council is heavily involved in supporting the NHS to successfully deliver vaccination to the local population
- The government has set out its roadmap for recovery which the council is responding to and supporting organisations and services within Reading to operate safely after 19th July release from COVID-19 restrictions



Cyber - Risk of loss from cyber attack

20

Current Risk Score

Risk Ref

SR9

Corporate Priority

Our Foundations

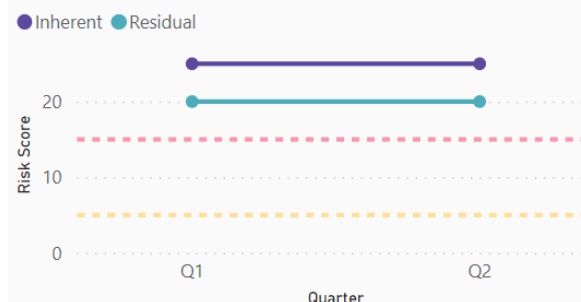
Risk Owner

Chief Digital & Information
Officer

Potential Impact

Loss of service, loss of reputation, legal challenges,
recovery costs

Trends - Risk Scores



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5		
Likelihood (Inherent)	5	5		
Inherent	25	25	0	0
Impact (Residual)	5	5		
Likelihood (Residual)	4	4		
Residual	20	20	0	0

Current Actions and Mitigation

- Current impact is 5 to reflect recent learning from incidents such as those experienced by Haringey and Redcar & Cleveland ransomware attacks.
- We have updated the cyber incident "playbook" to reflect learning from recent attacks on the public sector and the latest guidance from the National Cyber Security Centre (NCSC).
- Intent is to run a cyber attack exercise in H2 21/22. Completion of this exercise and the actioning of lessons learned from it will lead to a reduction in impact level.
- Likelihood remains high and the actions below are in train to address this.
- Principal driver of likelihood is the need for staff awareness and training. 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. Training has been made mandatory and this has led to a 50% increase in completion. Further communications and line management action are being put in place to drive uptake.
- We have had a preliminary assessment of our compliance with the requirements of the NCSC Cyber Essentials scheme undertaken and plan to achieve Cyber Essentials Plus certification by the end of 21-22. The principal dependency for certification is the rollout of a new version of Windows 10. This project has initiated; the bulk of the rollout is planned for November and December 2021, with the project ending in early 2022.
- 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 is played in Council by the Lead Member for Corporate & Customer Services
- Staff training on cyber security is regularly reviewed by Audit and Governance Committee

Go back

SR9



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Filters



ICT -Failure to improve the quality of ICT

6

Current Risk Score

Risk Ref

SR10

Corporate Priority

Our Foundations

Risk Owner

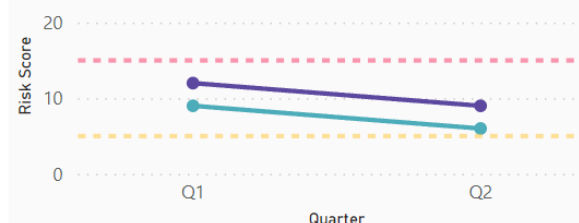
Chief Digital & Information
Officer

Potential Impact

Loss of service, loss of reputation

Trends - Risk Scores

Inherent Residual



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	4	3		
Likelihood (Inherent)	3	3		
Inherent	12	9	0	0
Impact (Residual)	3	3		
Likelihood (Residual)	3	2		
Residual	9	6	0	0

Current Actions and Mitigation

- Following transition to the ICT Future Operating Model on schedule on 1 April, with no disruption to service, action is in hand to ensure that the new service beds in successfully. The key areas of action are set out below. These have all contributed to the reduction in risk from unmitigated and are expected to lead to a further reduction in residual risk.
- Action has been taken to improve service desk processes. This is reflected in the fact that response targets are being met for new incidents and service requests and that the backlog of incidents and service requests has been significantly reduced (by around 80%)
- Service improvement action is focused on the interface between Agilisys (which provides our service desk) and other providers, to address challenges in information exchange and joint working. This has been a big driver of the improvement described above
- Problem management has been established, in line with best practice, to ensure that the root cause of recurring incidents is being diagnosed and addressed. Problem management effort is currently focused on intermittent performance issues affecting some applications, including the Mosaic social care application (for which a temporary solution is in place). Work on these problems has already led to changes significantly improving network performance.
- A communications plan is being implemented to ensure that staff know how to engage with the ICT service (eg how to raise an incident via the online portal) and to ensure that they are aware of guidance for its use. An all-staff briefing has been delivered; a Digital & ICT Hub intranet site launched; and a survey of a sample of staff is being launched imminently.
- Technology refresh is being planned to ensure that equipment and software remains up to date (while maintaining value for money). Most notably, the version of Windows 10 is being around the end of the calendar year.
- Based on the above progress and trajectory, both impact and probability scores have been improved.

Go back

SR10



[Alpha] Strategic Risk - for print | Data updated 21/09/21



Filters