

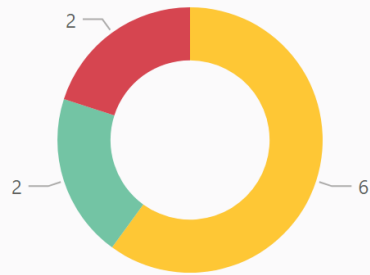
Appendix 1



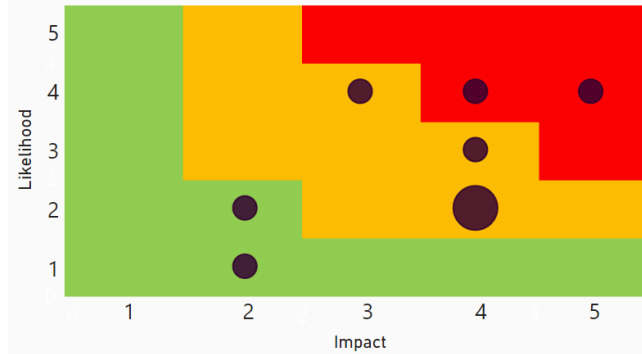
Strategic Risk Register - Summary

[View detail](#)

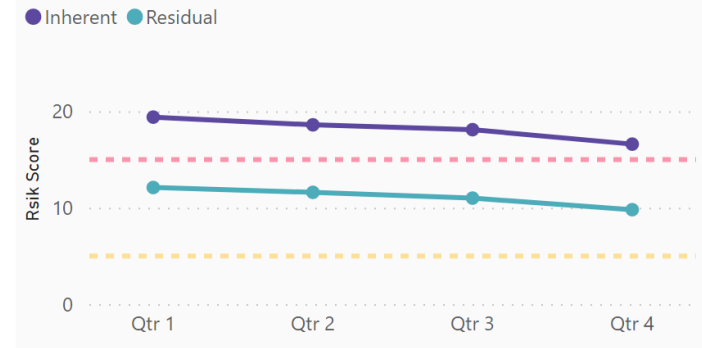
Register Risk Status (All risks)



Risk Matrix - Risk Distribution



Trend - Mean Risk Score (All Risks)



Ref	Risk	Q1 Residual	Q2 Residual	Q3 Residual	Q4 Residual	Current RAG
SR9	Cyber - Risk of loss from cyber attack	20	20	20	20	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	16	16	Red
SR2	Staffing - Failure to retain and recruit suitably qualified staff	12	12	12	12	Yellow
SR5	Inequality - Reducing levels of inequality	12	12	12	12	Yellow
SR1	Budget - Not achieving the budget savings, controlling costs and achieving income targets.	20	20	12	8	Yellow
SR3	Information Governance - Failure to protect personal data	8	8	8	8	Yellow
SR4	Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.	8	8	8	8	Yellow
SR7	Safeguarding - Safeguarding vulnerable children and adults	10	8	8	8	Yellow
SR8	Impact of covid 19 and significant additional waves of infections including highly probable event of pandemic Flu	6	6	8	4	Green
SR10	ICT -Failure to improve the quality of ICT	9	6	6	2	Green



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

8
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



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	5	5	4	4
Likelihood (Residual)	4	4	3	2
Residual	20	20	12	8

Current Actions and Mitigation

- Monthly meetings to review savings Risk profiles, contingencies and reserves identified.
- The Council set a balanced budget for 2021/22 at its council meeting in Feb 2021 and current predictions are that the Council will deliver services for 2021/22 within the approved budget.
- A balanced budget for 2022/23 was approved by Council on 23 March 2022.
- The MTFs 2022/23-2024/25 shows an ongoing budget gap of £5.8m in future years but work is ongoing to reduce the budget gap.



Staffing - Failure to retain and recruit suitably qualified staff

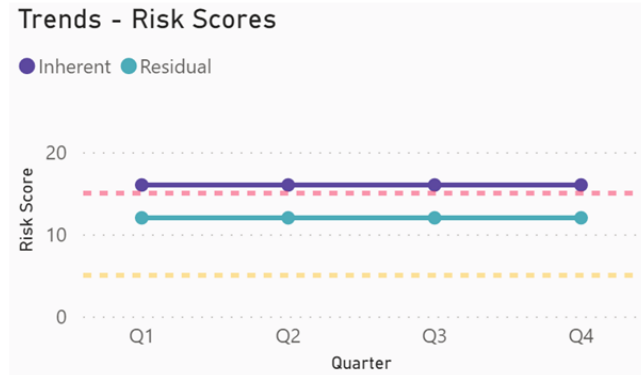
12
Current Risk Score

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.



Risk Scoring

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

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 84%.
- 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. Next survey due in April 2022 to monitor progress
- 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
- Improved performance management process has been launched which includes assessment against the Team Reading values and behaviours as well as objectives



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



Risk Scoring

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

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
- Information Management Strategy to be considered at Policy Committee on 7 March 2022.
- 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 Information Management Strategy and compliance – Complete
- Cascade of compliance requirements now through the Information Governance Champions Network (IGCN) - ongoing.
- Subject Access Request policy and Breach Management policy reviewed by IGB. Further training to be delivered to staff. Complete.
- Privacy Notices have been updated for each service area and made available to service users. This is kept under review e.g. were updated for revised Covid operations. Now to be revised in Information Governance Champions Network. Ongoing
- Information Sharing Protocols have been centralised and will be reviewed by IGCN.
- 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 through ongoing IGCN programme to ensure they are being actioned. Further work through the IGCN 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



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



Risk Scoring

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

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 - new Board recruited.
- Looking to review housing company later this financial year.



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.



Risk Scoring

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

Current Actions and Mitigation

New Social Inclusion funding included in the 2022/23- 2024/25 MTFS which is due to be considered by Council on the 23rd Feb. The Funding will support development of a Strategy and programme of work focusing on Skills and Education and the barriers to employment within the Council's more deprived areas. Advert for additional resource to support this work due to go out in March.

An Action Plan to further develop the Council's relationship with the VCS is in the process of being developed.

Terms of Reference for Social Inclusion Board and sub groups being redrafted to provide greater visibility of activity and increased focus on the underlying causes of deprivation within the Borough.

Closing the Gap – Prospectus for £1.3m 3yr Commissioning framework with the VCS due to be launched. Targeting underlying causes of deprivation to support customers to be self-reliant and develop community capacity.

Small Grants Scheme – The Council's 2022/23 doubles the funding available to £200k work is underway to launch the bidding in April.

Health and Wellbeing Strategy – The Berkshire West Health & Wellbeing strategy addresses health inequalities through a number of 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 people and families have fair and equal access to free play activities on a daily basis. The service also provides a specialist service for schools which includes respite and SEN support.

Libraries support children and adults with provision of free resources, including access to information, internet/wifi, and IT and 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. The Museum regularly offers project work to schools in areas of deprivation.



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.



Risk Scoring

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

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.
- An internal audit process concluded in February 2022 (report attached) - although this gave 'reasonable assurance' the report highlighted the need for climate action to be embedded more systematically across the organisation, and for the Council to develop a more comprehensive climate change adaptation plan - action to address these points will be a priority for 2022.
- Annual progress reports on the Reading Climate Change Strategy and corporate Carbon Plan published in November 2021 highlighted that while progress was being made with emissions reduction, and the Council remains on track to meet its own target of an 85% cut in corporate emissions by 2025, the pace of emissions reduction in the wider Borough needs to increase to achieve 'net zero by 2030'.
- An internal audit process concluded in February 2022 (report attached) - although this gave 'reasonable assurance' the report highlighted the need for climate action to be embedded more systematically across the organisation, and for the Council to develop a more comprehensive climate change adaptation plan - action to address these points will be a priority for 2022.
- Annual progress reports on the Reading Climate Change Strategy and corporate Carbon Plan published in November 2021 highlighted that while progress was being made with emissions reduction, and the Council remains on



Safeguarding - Safeguarding vulnerable children and adults

8
Current Risk Score

Risk Ref
SR7

Corporate Priority
Our Foundations, Thriving Communities

Risk Owner
Executive Director of Social Care and Health

Potential Impact
Significant harm, death or injury. Loss of reputation. Fines/penalties. Insurance claims. Legal challenges.



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	3	2	2	2
Inherent	15	10	10	10
Impact (Residual)	5	4	4	4
Likelihood (Residual)	2	2	2	2
Residual	10	8	8	8

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 West Berkshire wide Multi-Agency Risk Management (MARM) process is in place to support the individual and staff to reach agreement and adopt strategies around risk and management of those risks where they are manageable.
- 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.
- All safeguarding concerns (referrals) are recorded on the client record system to ensure an accurate record is made of all safeguarding activity
- A permanent Assistant Director for Safeguarding, Performance, Quality and Practice started in August 2021.
- 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.
- New Assistant Director to review consistent safeguarding practice across the Directorate. Redesigning our Futures (DACHS restructure) to incorporate the statutory role of a Principal Social Worker whose main task will be to ensure consistency and quality in all safeguarding work.
- The Assistant Director will incorporate Quality audits to ensure consistency in assessment and protection of adults at risk.
- Risks relating to children's services are managed by BFFC, who have their own risk management arrangements.



Impact of covid 19 and significant additional waves of infections including highly probable event of pandemic Flu

4
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



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	5	5	4	4
Likelihood (Inherent)	5	5	5	2
Inherent	25	25	20	8
Impact (Residual)	3	3	4	2
Likelihood (Residual)	2	2	2	2
Residual	6	6	8	4

Current Actions and Mitigation

- Specific GOLD meetings stood down with a SILVER operating on a fortnightly basis and reporting into CMT and Leadership by exception
- MTUs and LTS's still active and decommissioning plans are in place
- Continue to support vaccine rollout and use data to consider where hesitancy exists
- Local Contact Tracing has ended following the Living with Covid announcement by the government
- Service delivery and risk assessments sit with Services/Directorate decision making
- 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
- Testing infrastructure in Reading in place until 31st March. The two Local Testing Sites are operating and the Community Testing site for LFD testing at Town Hall remains open.
- 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. Including the Community Vaccine Champions scheme to increase targeted take up
- The government has set out its Living with Covid Plan
- need to establish Health Protection Board to focus on all Infectious diseases, mandatory requirement under the H&SC Act 2012. Action for DPH
- Work with CCG, PCNs and higher education settings for MMR catch up awareness
- Reassert efforts around childhood vaccination programmes as part of Covid recovery



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



Risk Scoring

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

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 (the latter having been assessed as having had total business impact of £6m). Given that £1m is the threshold for impact level 5, the level is not expected to change.
- Likelihood remains high. While progress on actions is exerting downward pressure on likelihood, this is balanced by worsening of the threat environment. (See [First ever Government Cyber Security Strategy to step up Britain's defence and resilience - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/consultations/first-ever-government-cyber-security-strategy-to-step-up-britain-s-defence-and-resilience)). Realistically, the continuing evolution of the threat environment is likely to mean that the likelihood will remain high. The purpose of our investment in countermeasures is to avoid even higher likelihood and to maximise ability to mitigate impact.
- We have developed a cyber incident response plan and cyber incident "playbooks" 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 22/23. Completion of this exercise and the actioning of lessons learned from it should lead to greater confidence in the ability to recover and understanding the time this would take.
- Staff awareness and training is critical. Training has been made mandatory and completion is in excess of 92% in RBC. BfFC has now also made cyber training mandatory. Preparations are being made to remove ICT access from those who have not completed the training (unless there is a good reason and plan for completion agreed). A refresher course will be compulsory in 2022/23, has been sourced, and will be launched this month.
- 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 Q1 22/23. The principal dependency for certification is the rollout of a new version of Windows 10. This project is in its final "mop-up stage".
- 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



ICT - Failure to improve the quality of ICT

2
 Current Risk Score

Risk Ref
SR10

Corporate Priority
Our Foundations

Risk Owner
Chief Digital & Information Officer

Potential Impact
Loss of service, loss of reputation



Risk Scoring

	Q1	Q2	Q3	Q4
Impact (Inherent)	4	3	3	3
Likelihood (Inherent)	3	3	3	2
Inherent	12	9	9	6
Impact (Residual)	3	3	3	2
Likelihood (Residual)	3	2	2	1
Residual	9	6	6	2

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 reliably met.
- 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. This has already had success in, for example, the resolution of a performance issue that had been affecting the Mosaic social care application.
- A communications plan has been 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. Three all-staff briefings have been delivered; a Digital & ICT Hub intranet site launched; and a survey of a sample of staff was undertaken, whose feedback was positive.
- Technology refresh is being planned to ensure that equipment and software remains up to date (while maintaining value for money). Most notably.
- Based on the above progress and trajectory, both impact and probability scores have been improved.