





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

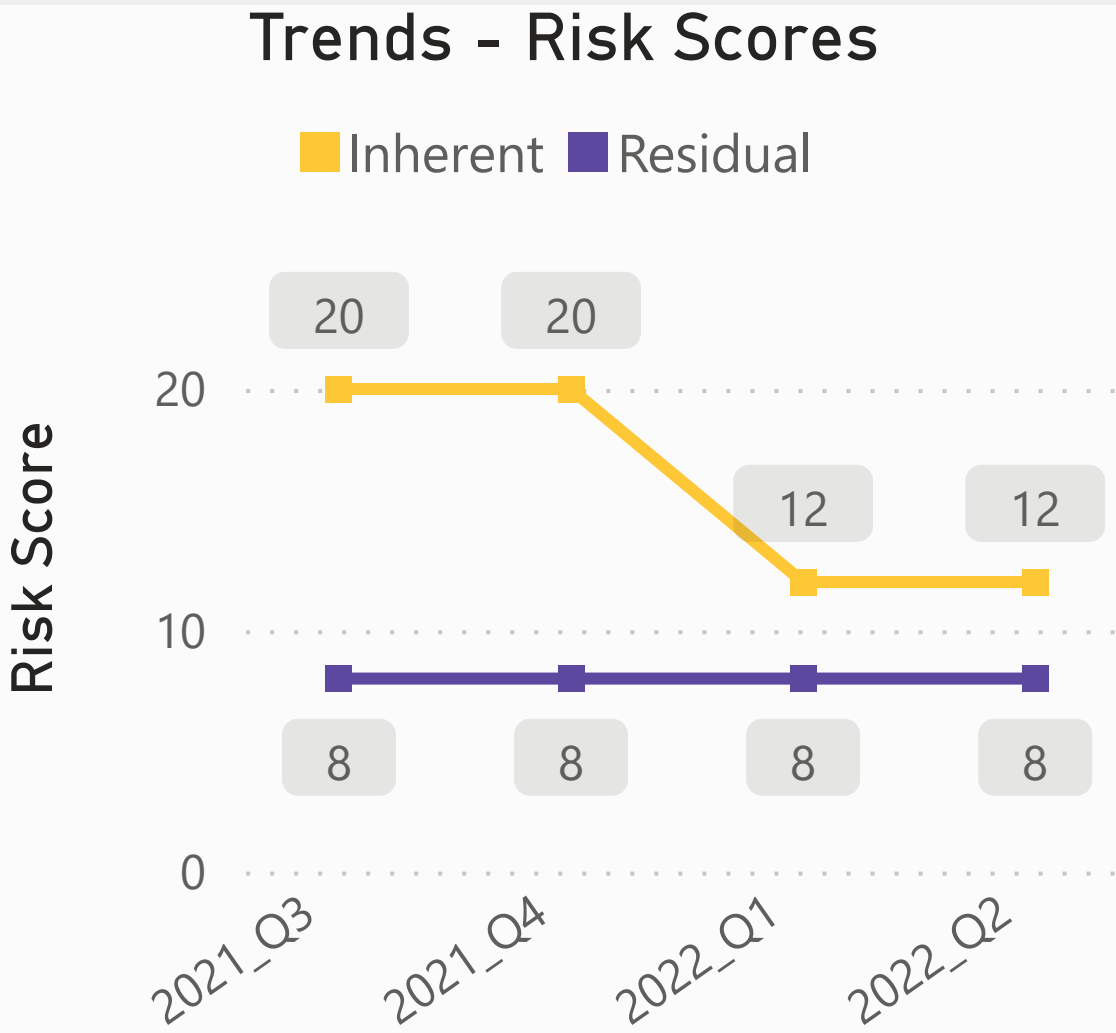
Register:  
Strategic  
  
Risk owner:  
Swan, Henry

8

Current Risk S...

Cause:  
Corporate mismanagement

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				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)	5	5	4	4
Likelihood (Inherent)	4	4	3	3
Inherent	20	20	12	12
Impact (Residual)	4	4	4	4
Likelihood (Residual)	2	2	2	2
Residual	8	8	8	8

Actions and update

- Contract governance arrangements in place with Brighter Futures for Children (BFfC) to monitor Company performance, including monthly financial reporting and bi-monthly (once every 2 months) - remove BFFC
- Regular 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 Executive.
- 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.



Risk:  
Cyber - Risk of loss from cyber attack

Register:  
Strategic

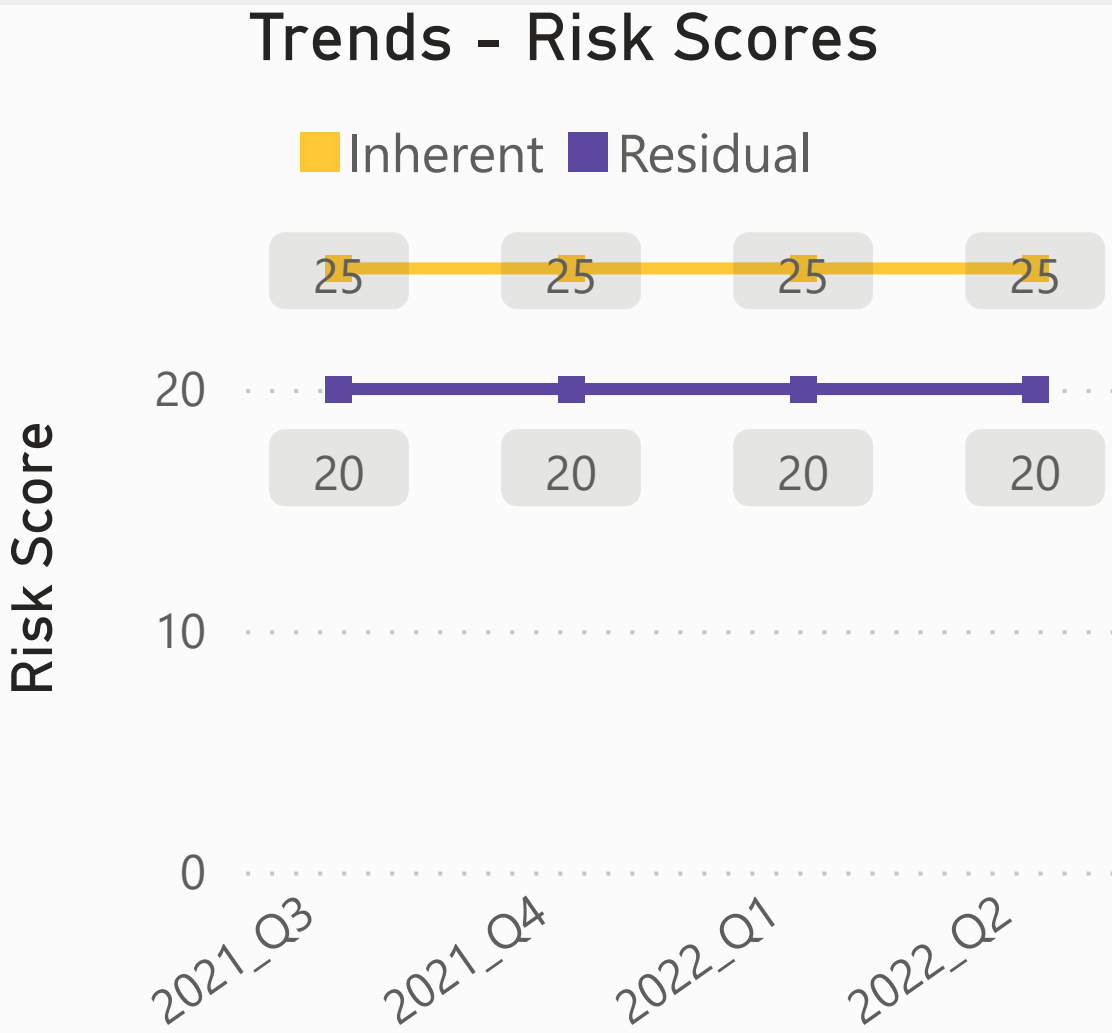
Risk owner:  
Chalmers, Martin

20

Current Risk S...

Cause:  
Attack by hostile nation states, criminals or activists

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



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
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

Actions and update

- 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 \(www.gov.uk\)](#)). 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.



Risk:  
Failure to adapt to the impacts of climate change

Register:  
Strategic

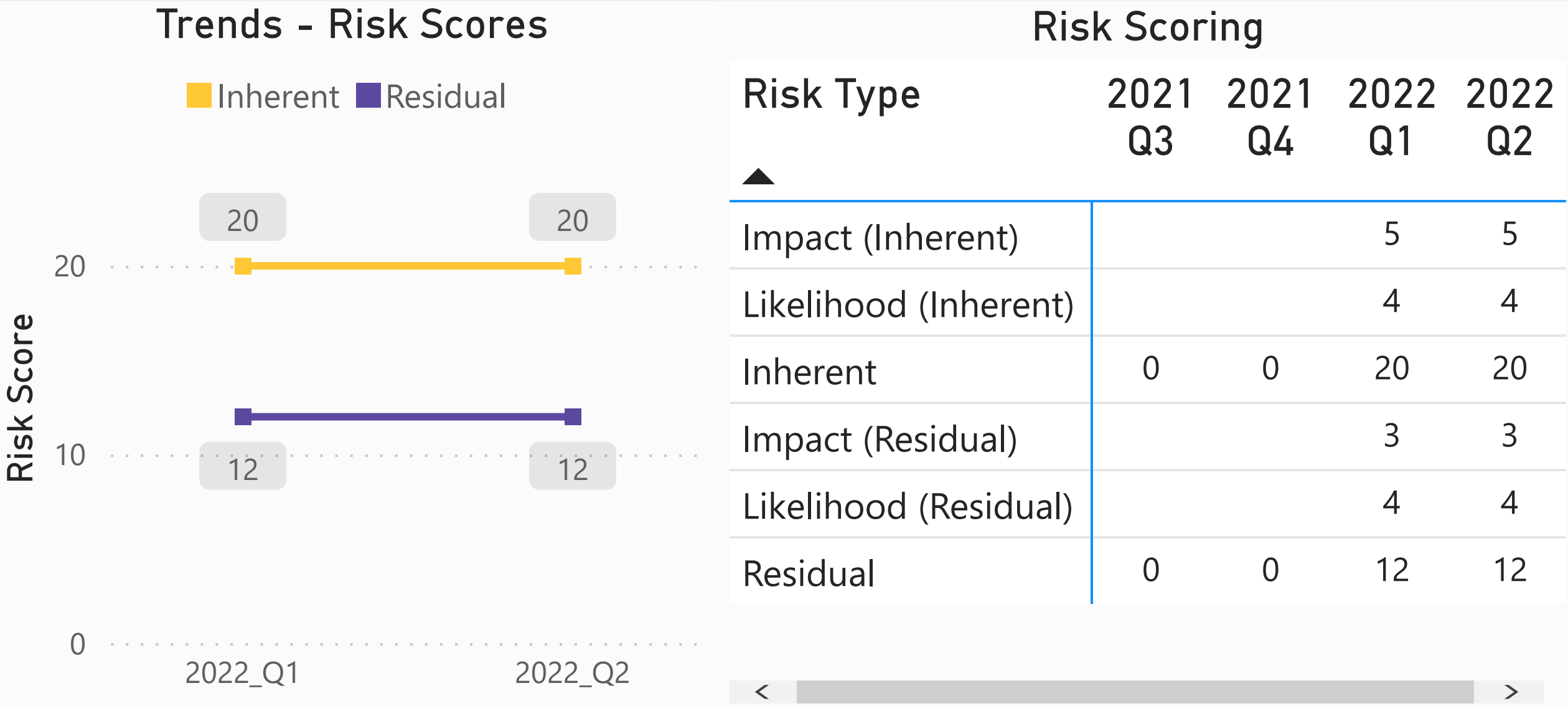
Risk owner:  
Martin, Frances

12

Current Risk S...

Cause:  
Inadequate emergency planning and preparedness, business continuity planning and long-term planning to adapt to the impacts of climate change.

Potential Impact:  
Climate change impacts (related to hotter drier summers, warmer wetter winters, and more extreme weather events) 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.



Actions and update

- 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. These plans were recently tested in the July and August 2022 heatwaves but data is awaited on the public health outcomes. 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 is now in place and being used by report authors - this includes tests to ensure that decisions are taking account of key climate impacts such as extreme heat, storms and flood risk, and the need to adapt to them.
- 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.
- An internal audit process concluded in February 2022 giving 'reasonable assurance' but the report highlighted the need for the Council to develop a more comprehensive climate change adaptation plan for its own services - work on this is now underway with the aim of completion this financial year.





Risk:

Failure to deliver zero carbon commitments

Register:  
Strategic

Risk owner:  
Martin, Frances

20

Current Risk S...

Cause:

1. Lack of clear policies and plans in place to deliver 2. Insufficient investment of Council resources in delivery; 3. Inadequate government funding and policy support for delivery

Potential Impact:

Failure to deliver the Council's net zero commitments will ultimately contribute to catastrophic climate change impacts through the 'contribution' of greenhouse gas emissions from Reading will of course be indistinguishable from that of other jursisdictions. The main impacts are therefore (i) practical in the sense that if the Council is not seen to be leading by example, the success of its efforts to persuade other partners and residents to cut their emissions will be reduced and (ii) reputational, in that the Council may be accused of not delivering on its promises, noting that some of the action required to deliver a net zero Reading by 2030 is beyond the Council's control.

Actions and update

Action is broken down in relation to 'cause' categories listed above as follows:

Lack of clear policies and plans in place to deliver:

- Reading Borough Council (RBC) worked with partners to develop the Reading Climate Emergency Strategy 2020-25 - includes action plans for all key policy areas (endorsed by Strategic Environment Planning & Transport Committee November 2020)
- RBC produces its own Corporate Carbon Plan to set out its pathway to net zero and action required (adopted by SEPT Committee November 2020)
- Annual Reports on progress on both the Climate Strategy and Carbon Plan are presented to SEPT on the anniversary of their publication
- A mandatory section of Committee Reports requires report authors to assess the environmental and climate impacts of decisions, using a climate impact assessment tool and accompanying guidance where appropriate

2. Insufficient investment of Council resources in delivery:

- The Council's capital programme includes significant investment designed to directly or indirectly support net zero goals, including investment in public transport, energy efficient housing, sustainable waste management practices, and carbon reduction measures in the Council's own buildings and fleet. Further work is, however, needed to establish whether this will be sufficient to delivery net zero ambitions for the Council and for Reading as a whole.
- While the Council's revenue budgets for dedicated work on climate change are modest in isolation, efforts are being made to ensure that climate action is embedded in all services and service plans through provision of support such as guidance and training for officers.

3. Inadequate government funding and policy support for delivery

- While Government policy is aligned to net zero, the national target of 2050 remains less ambitious than the local target of 2030. As such some policies are not fully aligned, and while Government has made significant funding available it is not of the scale required to support net zero by 2030. Furthermore most funding streams are extremely competitive and/or over-subscribed. The Council therefore works through representative bodies to lobby for more generous financial support and a more ambitious policy framework to enable net zero by 2030.

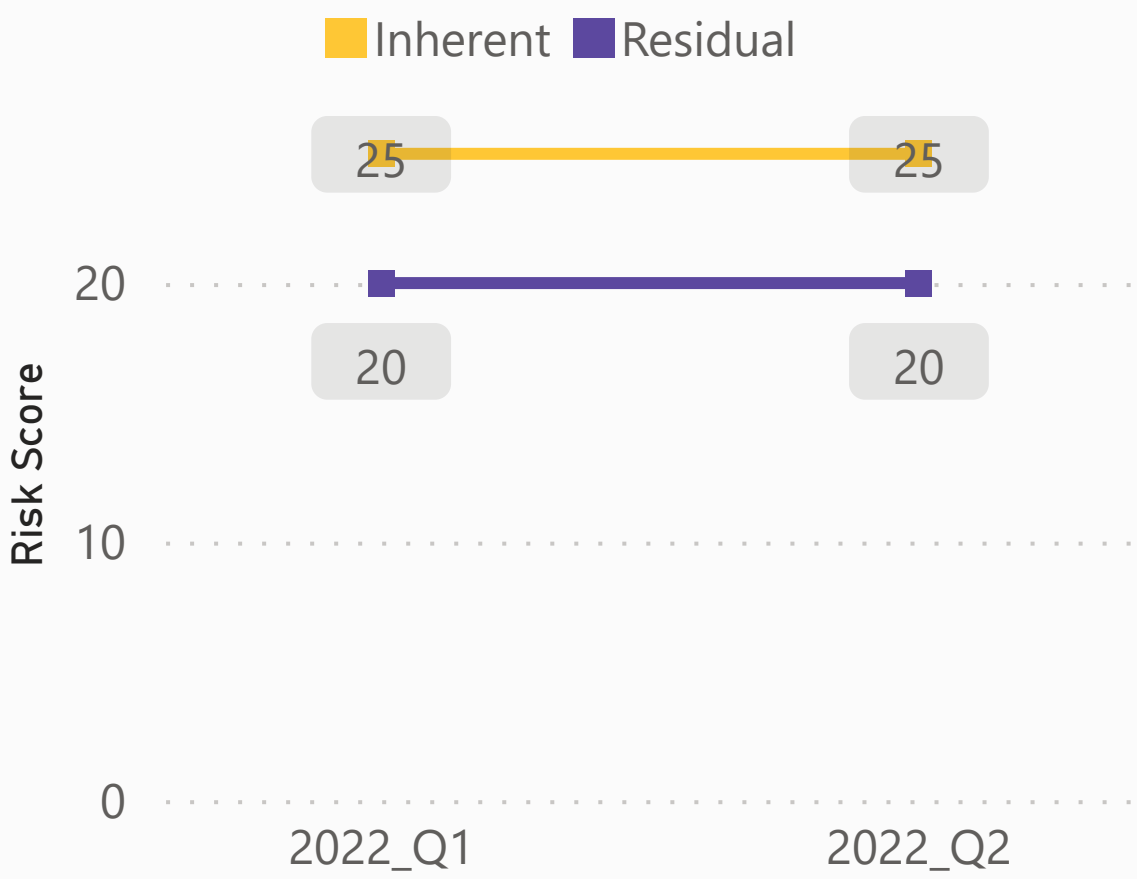
An annual progress report on the Reading Climate Change Strategy in November 2021 highlighted that while progress was being made with Borough-wide emissions reduction, the pace of the reduction needs to increase significantly to achieve 'net zero by 2030'. Some of the Borough-wide action needed to achieve net zero is beyond the Council's control, but the wider community understandably looks to the Council to lead by example. In this regard the Council is on track to meet its own corporate Carbon Plan target of an 85% reduction in emissions by 2025 (en route to net zero by 2030) though Council emissions represent <1.5 of the total for the Borough so are only a small, albeit symbolic, part of the total.

An internal audit of the Council's climate action programme was concluded in February 2022 giving 'reasonable assurance' - this made a number of recommendations to improve accountability for delivery of the Council's net zero commitments which are in the process of being implemented, including:

- Clear identification of responsible teams/officers for actions in the Reading Climate Emergency Strategy where RBC is listed as a delivery partner, with these actions being better reflected in the Service Plans of relevant services
- Clearer articulation of timescales and accountability for various actions in the corporate Carbon Plan
- Improved support and training for officers and services to embed climate action in their work

Reading's Climate Emergency Declaration made clear that additional powers and resources would be needed from central government to enable delivery of 'net zero by 2030' - to date, these have not been forthcoming to the extent required and this remains probably the biggest risk to delivery of the Council's commitments.

Trends - Risk Scores



Risk Scoring

Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)			5	5
Likelihood (Inherent)			5	5
Inherent	0	0	25	25
Impact (Residual)			5	5
Likelihood (Residual)			4	4
Residual	0	0	20	20



Risk:

# Failure to implement the social inclusion agenda within the Borough

Register:  
Strategic

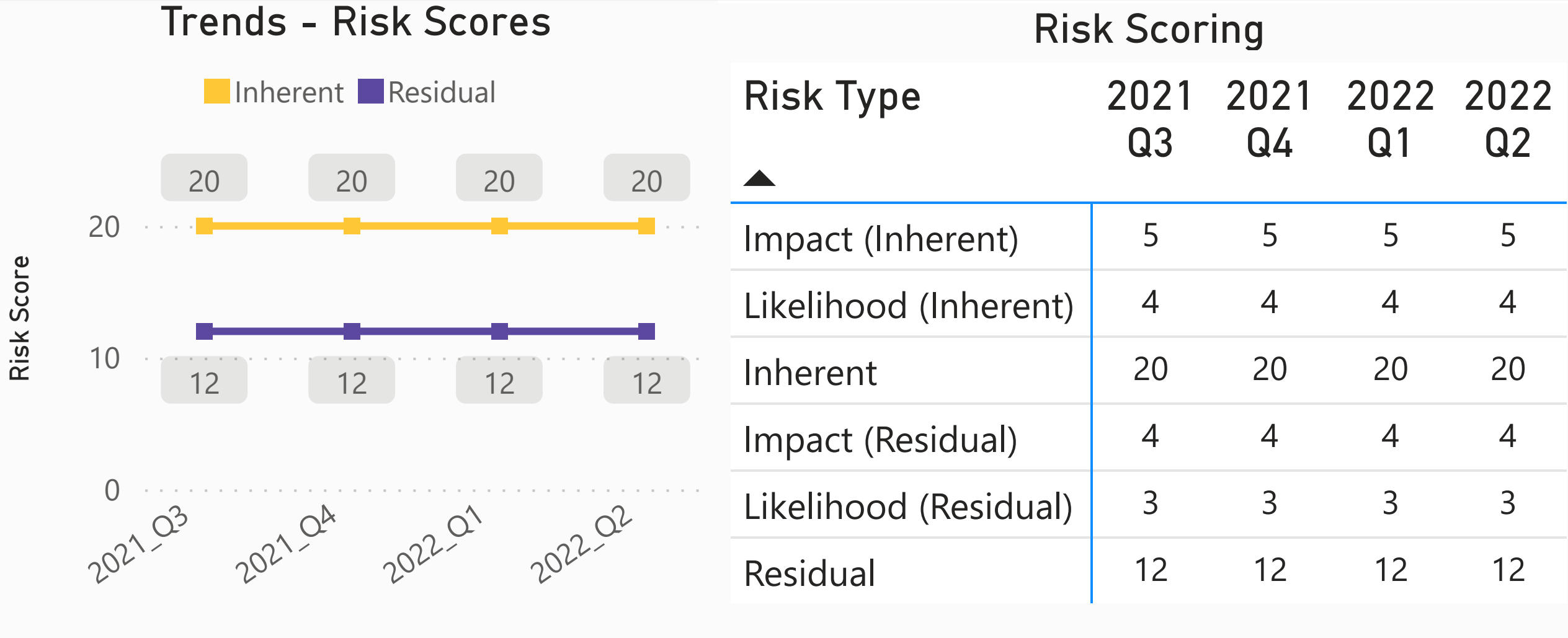
Risk owner:  
Yates, Jackie

12

Current Risk S...

**Cause:**  
Lack of resources, focus and coordination of internal teams, deficit of community infrastructure to support local delivery, lack of effective community engagement leading to inappropriate interventions and lack of support.up.

**Potential Impact:**  
Skills and income deficit is not addressed, leading to low pay/worklessness, children living in poverty and poorer outcomes in terms of health.  
Lack of aspiration and hopefulness  
Increased isolation and marginalisation of residents in less affluent areas.



## Actions and update

- Social Inclusion funding agreed for 2022/23- 2024/25
- Social Inclusion Strategy and action plan to go to Policy Committee in Q3
- New Social Inclusion and Voluntary & Community Sector (VCS) Partnership Manager appointed to focus on developing the strategic partnership with the VCS and coordination /visibility of activity taking place across the Council. Further post to be appointed to.
- VCS strategic action plan agreed and work commenced.
- Social Inclusion Board (Chaired by Chief Executive), with senior stakeholders from Directorate of Economic Growth & Neighbourhoods Services (DEGNS), Brighter Futures for Children (BFfC), Public Health and Directorate of Resources (DoR). The Board covers: Development and co-ordination of the broader Social Inclusion agenda, commission work to address skills and education, using a place based approach to address the barriers to education, provide oversight on key work programmes such VCS action plan, Community Health Champions, Volunteering for Reading road map. Detailed work programme to be presented to Policy Committee in October 2022.
- Closing the Gap – Phase 1 of the prospectus for £1.3m 3yr Commissioning framework with the VCS completed. Covering three priorities: Getting out and staying out of Poverty; Building Community wellbeing and resilience; and VCS Infrastructure. Phase 2 currently being commissioned to increase capacity for Debt and Money Management advice and support, targeted peer support for autistic, learning disability, and deaf communities.
- Small Grants Scheme – phase 1 scheme delivered and distributed around £100k of funding. Phase 2 in development to allocate a further £100k in October.
- New work experience offer designed for schools and more targeted approach to apprentice recruitment to be implemented.
- Procurement activity to ensure the Council's Social Value aspirations are effectively embedded delivering additional training, job opportunities, infrastructure etc.
- New Education Strategy being drawn up by BFFC reflecting the need to boost aspiration and attainment.
- Refugee Settlement Schemes in place and resourced to support to; Ukrainian, Afghan and Syrian refugees.
- Accessible information and Communications strategy adopted in November 2021 covering; accessible information standards online (WCAG Acessible for All standard) , inclusive standards for written and visual communications, provision of translation and interpretation services. Implementation of the strategy has been communicated to staff and is delivered as part of the Customer Excellence Programme.
- 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 learning to adults aged 19+ in Reading, in particular skills for life and work including maths, English and digital skills as well as apprenticeships and work based learning courses.
- Reading Play provide play opportunities for 0 to 13 year olds through After School Clubs, Holiday Play clubs, 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 Special Education Needs & Disabilities (SEND) 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 neuro-diverse.
- 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.





Risk:  
Failure to manage a significant outbreak of a communicable disease(s)

Register:  
Strategic

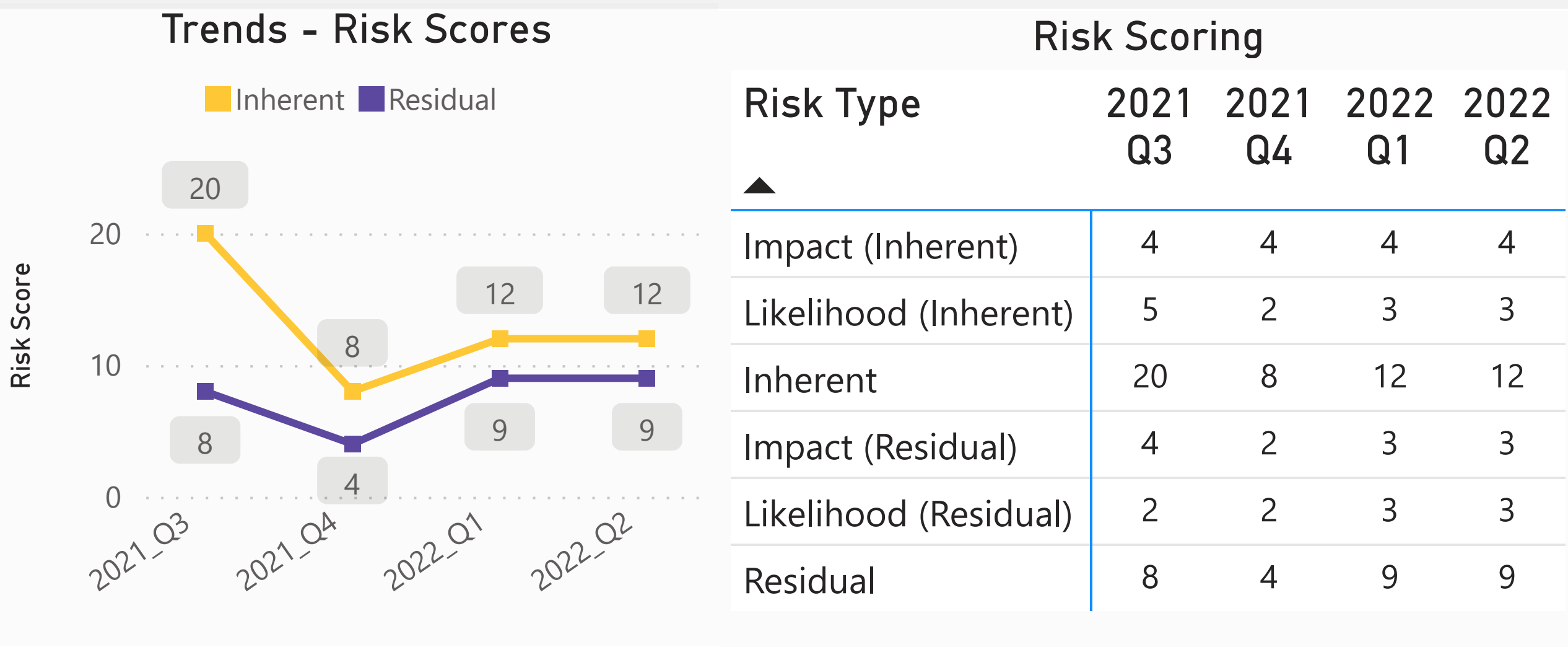
Risk owner:  
Daszkiewicz, Tracy

9

Current Risk S...

Cause:  
Lack of specialist staff capacity resources to manage the situation

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



Actions and update

- 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 Personal Protective Equipment continues
- Establish a robust structure for dealing with Health Protection, from preparedness through response to recovery
- Create a Health Protection Board
- Have a health protection lead in place
- Closer alignment of health protection to emergency planning
- Emergency response structure continues to operate
- Thames Valley Local Resilience Forum being supported
- 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
- To continue to support the work of the Berkshire West Health Protection Board to focus on all Infectious diseases, mandatory requirement under the Health &Social Care Act 2012.
- Work with Clinical Commissioning Groups, Primary Care Networks and higher education settings for Measles, Mumps & Rubella catch up awareness
- Reassert efforts around childhood vaccination programmes as part of Covid recovery.
- Need to establish clear roles and responsibilities
- Staffing capacity - there is a need for additional staffing support - health protection specialist required to work across Berkshire West
- Update the Pandemic Flu Plan and review procedures
- Undertake a flu exercise
- Ensure Flu is a consideration is a consideration in all Business Continuity Plans



Risk:

Failure to safeguard vulnerable adults and children

Register:  
Strategic

Risk owner:  
Lappin, Joanne

10

Current Risk S...

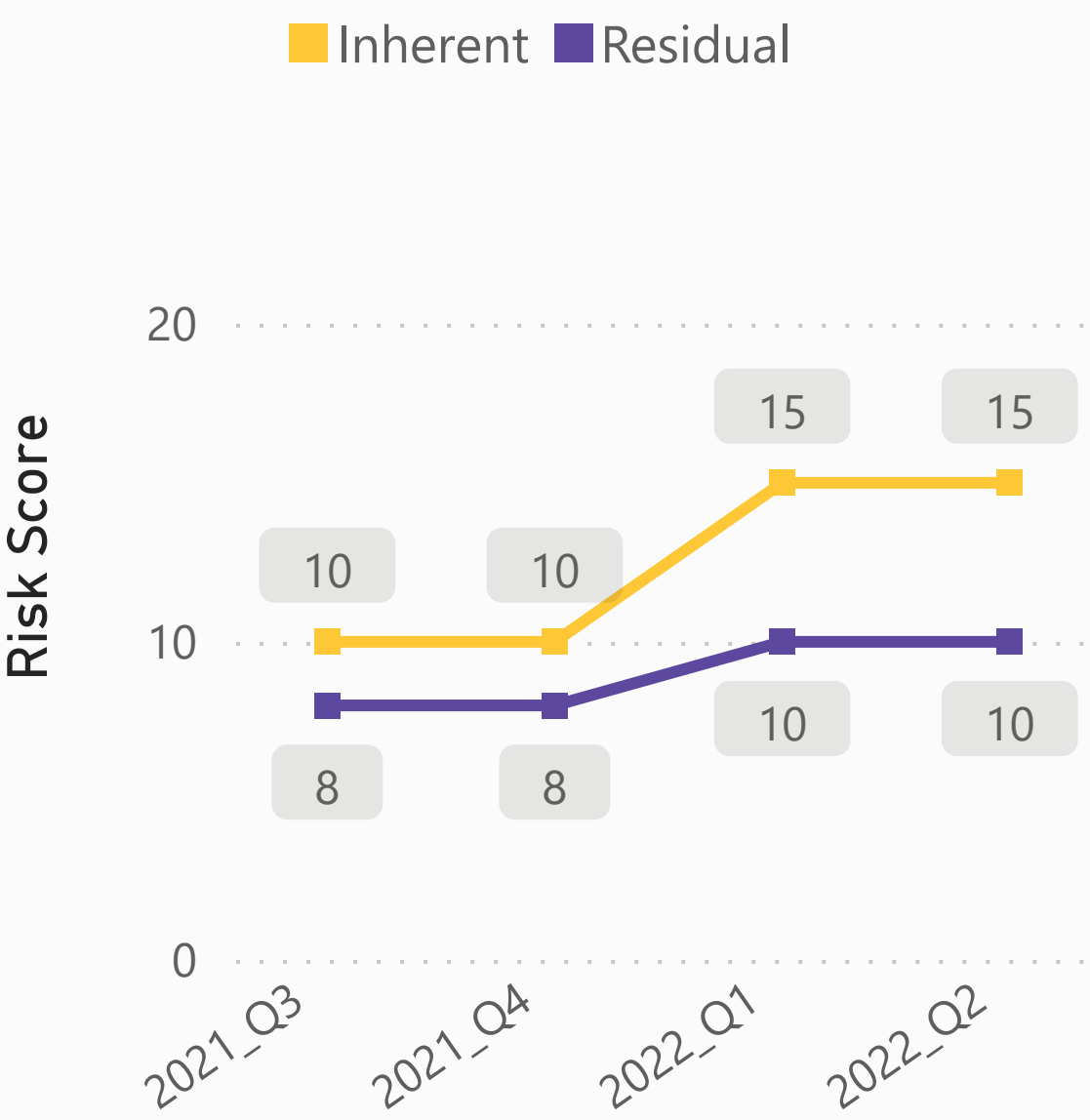
Cause:

Inadequate risk assessment and management, lack of or poor safeguarding response, failure to provide adequate health and safty measures

Potential Impact:

Harm, injury or death of person (s) to whom adult and children's social care has a duty  
Potential of legal claim for negligence, corporate manslaughter  
Reputational damage  
Media coverage

Trends - Risk Scores



Risk Scoring

Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	2	2	3	3
Inherent	10	10	15	15
Impact (Residual)	4	4	5	5
Likelihood (Residual)	2	2	2	2
Residual	8	8	10	10

Actions and update

- All Directorate staff and relevant other officers receive mandatory training to assess safeguarding risks. Staff and Managers have regular refresher training.
- Staff receive 1-1 supervision from their managers where safeguarding is discussed and practice support is available. Ongoing support is provided through the Safeguarding Adults Team.
- Open safeguarding episodes are reviewed and reported weekly, managers in the teams have oversight and support from senior managers.
- RBC follows the local policies and procedures, as set out by West Berkshire Safeguarding Adults Board (SAB)
- All referrals received are screened, risks assessed and prioritisation decisions made.
- Health and Safety measures are in place across the Directorate of Adult Care & Health Services (DACHS).
- Risks relating to children's services are managed by BFfC, who have their own risk management arrangements.





Risk:

Failure to safeguard young people in the community from serious crime

Register:  
Strategic

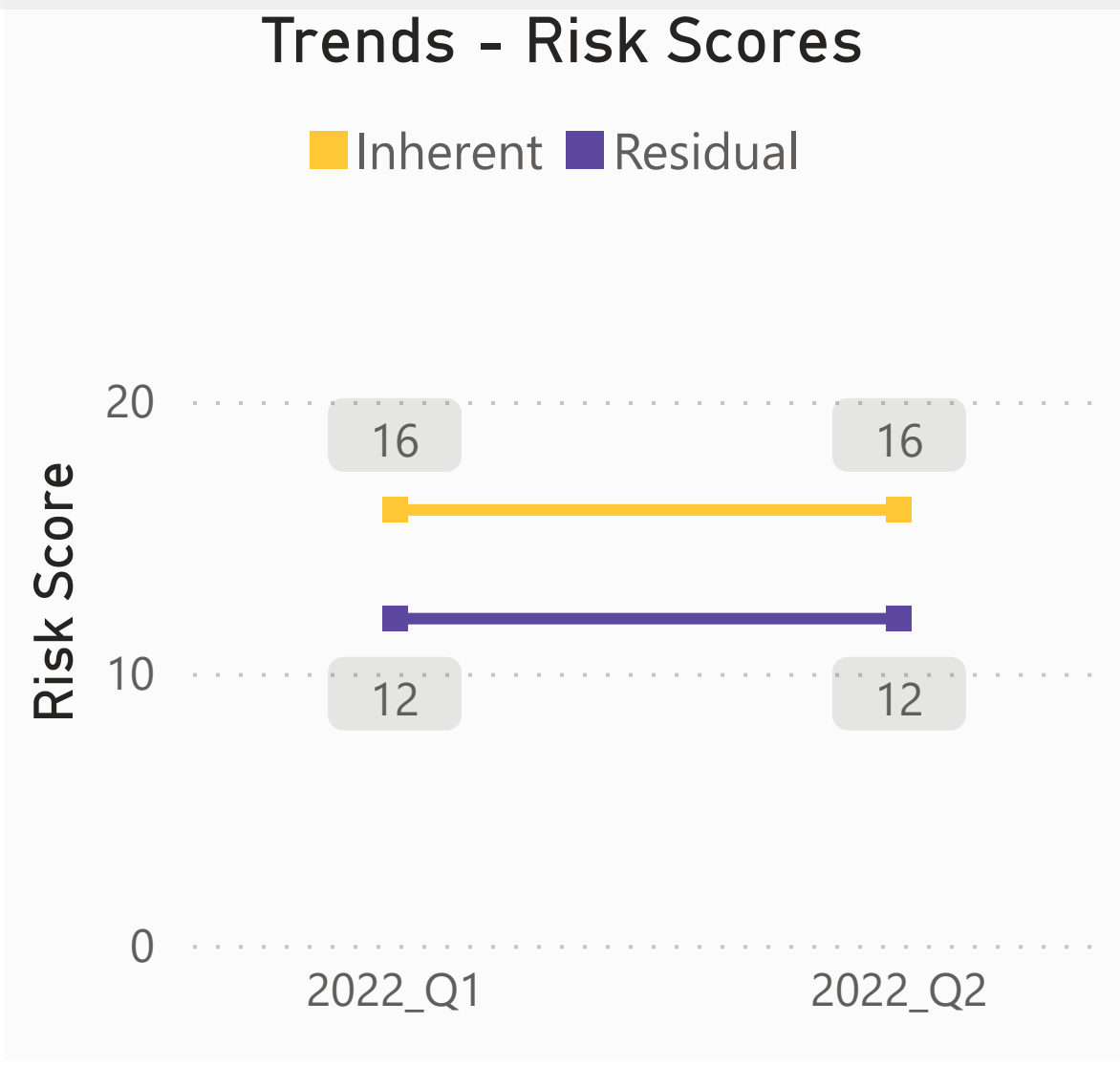
Risk owner:  
Grady, Brian

12

Current Risk S...

Cause:  
Increasing demand on early help and youth support services, increasing complexity of issues and needs of young people and increasing presence of extra-familial risks, crime and exploitation risks, including County Lines and drugs knife crime.

Potential Impact:  
Young people experience serious harm and there are longer term negative impacts on the health and wellbeing of communities



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)			4	4
Likelihood (Inherent)			4	4
Inherent	0	0	16	16
Impact (Residual)			4	4
Likelihood (Residual)			3	3
Residual	0	0	12	12

Actions and update

An extra-familial risk/contextual safeguarding pathway for adolescents has been established to provide support for young people who would otherwise have been subject of a Child Protection Plan. In 2022/2023, cross-Council activity will be embedded to enhance support available for adolescents at risk

Through the leadership of Community Safety and Brighter Futures for Children, continue to deliver partnership actions with Thames Valley Police, the Berkshire, Oxfordshire and Buckinghamshire Integrated Care System, and the Berkshire West Adolescent Risk group to ensure an effective safeguarding response to the risks of extra-familial harm, exploitation and serious violence.

Ensure that work regarding extra-familial harm, exploitation and the prevention of serious violence is informed by and connects to the work of Social Inclusion Board

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

Corporate Violence Group and partnership working in place



Risk:

# High risk of homelessness within the new Ukrainian arrivals due to unmet future housing needs

Register:  
Strategic

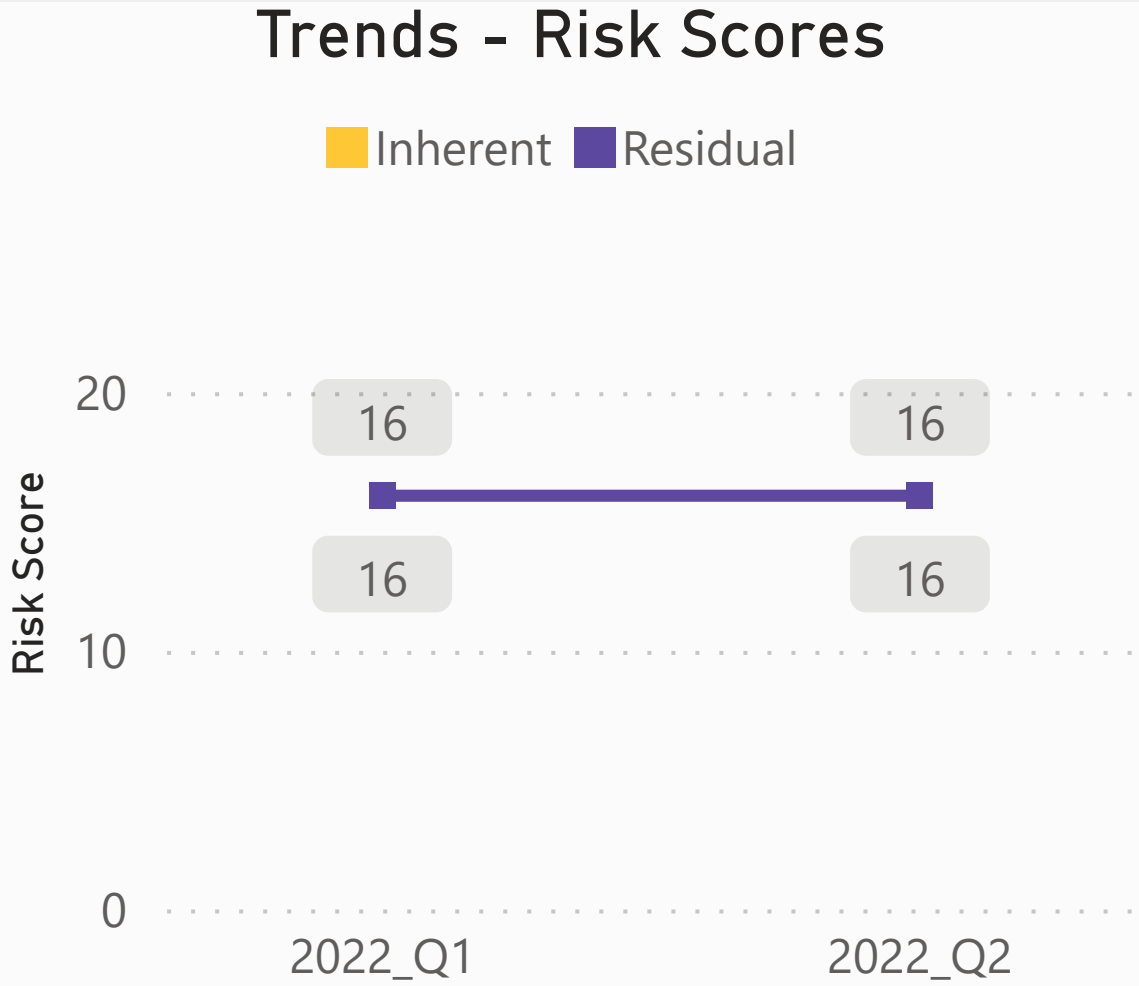
Risk owner:  
Wofle, Zelda

16

Current Risk S...

Cause:  
Breakdown in relationships between Sponsors and Guests and end of initial 6 month commitment will result in high numbers of individuals and families presenting as homeless

Potential Impact:  
Demand for new housing exceeds local affordable supply



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)			4	4
Likelihood (Inherent)			4	4
Inherent	0	0	16	16
Impact (Residual)			4	4
Likelihood (Residual)			4	4
Residual	0	0	16	16

Actions and update

- Daily monitoring of Department of Levelling Up Housing & Communities (DLUHC) database to determine numbers of individuals arriving through Homes for Ukraine Scheme
- Liaison with Sponsors to keep them informed of latest Council actions including requests to inform us of any issues
- Liaison with Ukrainian Association to keep them/the Council appraised of current situation
- Homes for Ukraine Scheme should establish a minimum 6 months commitment to accommodate guests in Sponsors households.
- Ongoing risks that data is unavailable on numbers that have arrived under the Family Visa Scheme.
- Use of re-matching to mitigate relationship breakdown or unsatisfactory initial visits. Plus can be used to deal shorten period of emergency housing where another sponsor can be found.
- Theoretical potential to use re-matching to find new sponsors when initial 6 month period expires - indication from Government that this will be permitted. Re-matching can only be used for Homes for Ukraine Scheme.
- DLUHC recognises need for post-six months policy. Task & Finish Group set up by DLUHC. DLUHC writing to guests and sponsors.
- Programme being set up to contact Sponsors & Guests @ 4 months to get accurate picture of numbers considering leaving the sponsorship scheme or extending.
- Attending joint workshops with DLUHC at Ukrainian Centre in Sept and Oct to meet guests & sponsors.



Risk:

Implementation of the new government legislation to deliver Adult Social Care Reforms

Register:  
Strategic

Risk owner:  
Wise, Melissa

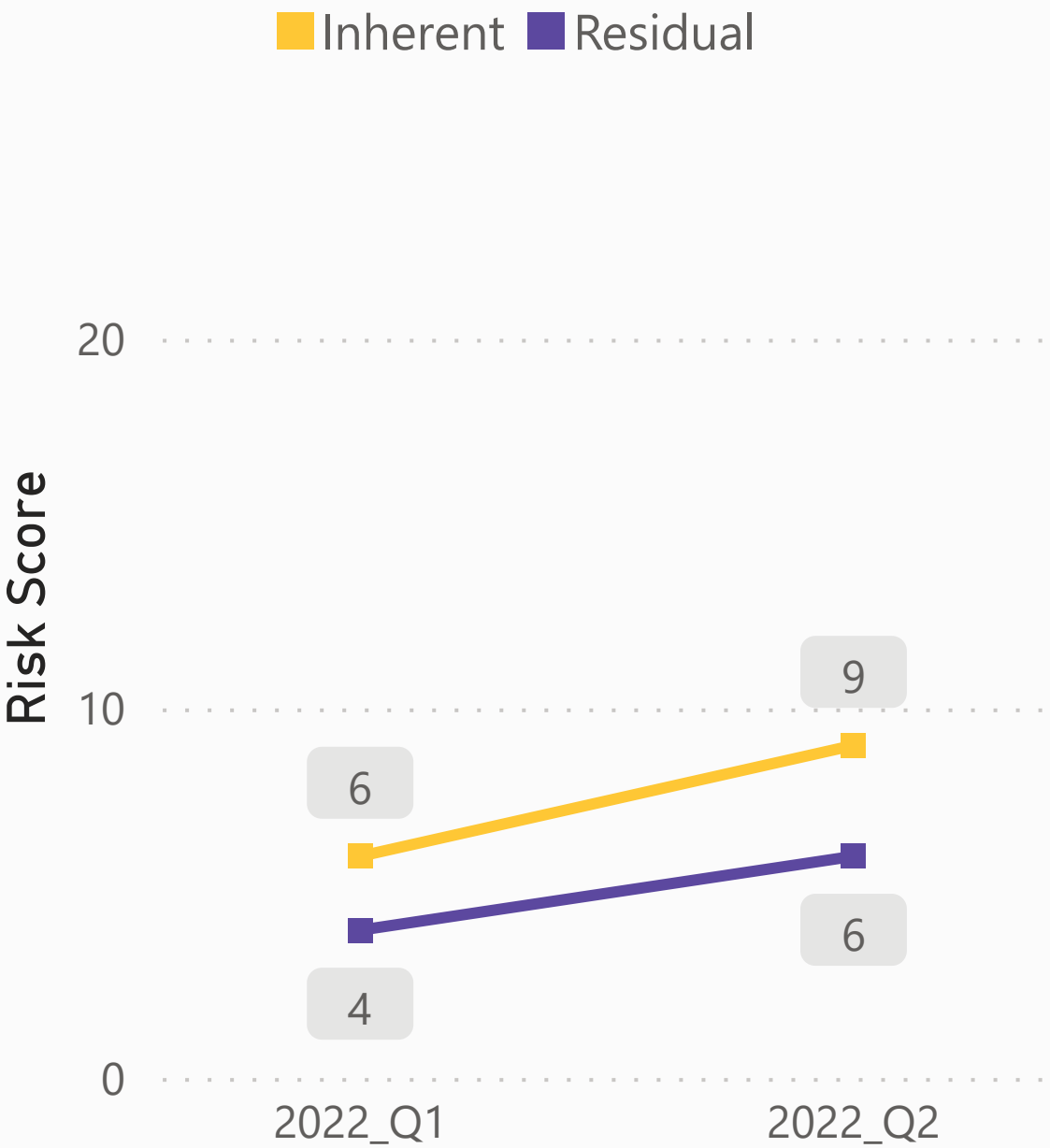
6

Current Risk S...

Cause:  
CQC Causes: Lack of resources & IT infrastructure, Lack of policy and procedures. Charging causes: Failure in IT systems, delivery of Care accounts in time, confusion over what is paid for. Increase in demand, Lack of skilled staff, Cost more and more complaints Lack of central gov funding - £60m over 10 years. Yet unclear of Government settlement, Government has not issued all guidance

Potential Impact:  
CQC Assurance:  
New inspection regime. Will require new policies and procedures  
Evidence on how service users voice informs the service decisions  
Quality framework  
Evidence person centred outcomes  
Testing ability to provide that we deliver to the care act  
Charging Reform:  
Regarding paying for social care and cap  
People privately paying to fund care will be able to attract RBC fees  
service user pays £86,000 and then RBC is funder  
Means test is moving from £23,000 to £100,000

Trends - Risk Scores



Risk Scoring

Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)			3	3
Likelihood (Inherent)			2	3
Inherent	0	0	6	9
Impact (Residual)			2	3
Likelihood (Residual)			2	2
Residual	0	0	4	6

Actions and update

- Set appropriate governance- two programme boards – Care Quality Commission (CQC) and charging reform to sit within current DACHS infrastructure
- Writing a business case for resources as cannot manage the impact with current level of resources
- Have raised awareness of the issue with Corporate Management Team (CMT) and Members
- Undertaking own financial analysis to look at the real impact on RBC
- Exploratory research with IT providers regarding solutions in place to meet the reforms
- Looking at getting the rates correct – in line with the national ‘Fair Cost of Care Provider’ programme. This is due in October 22 and is on target.





Risk:

Information Governance - Failure to protect personal data

Register:  
Strategic

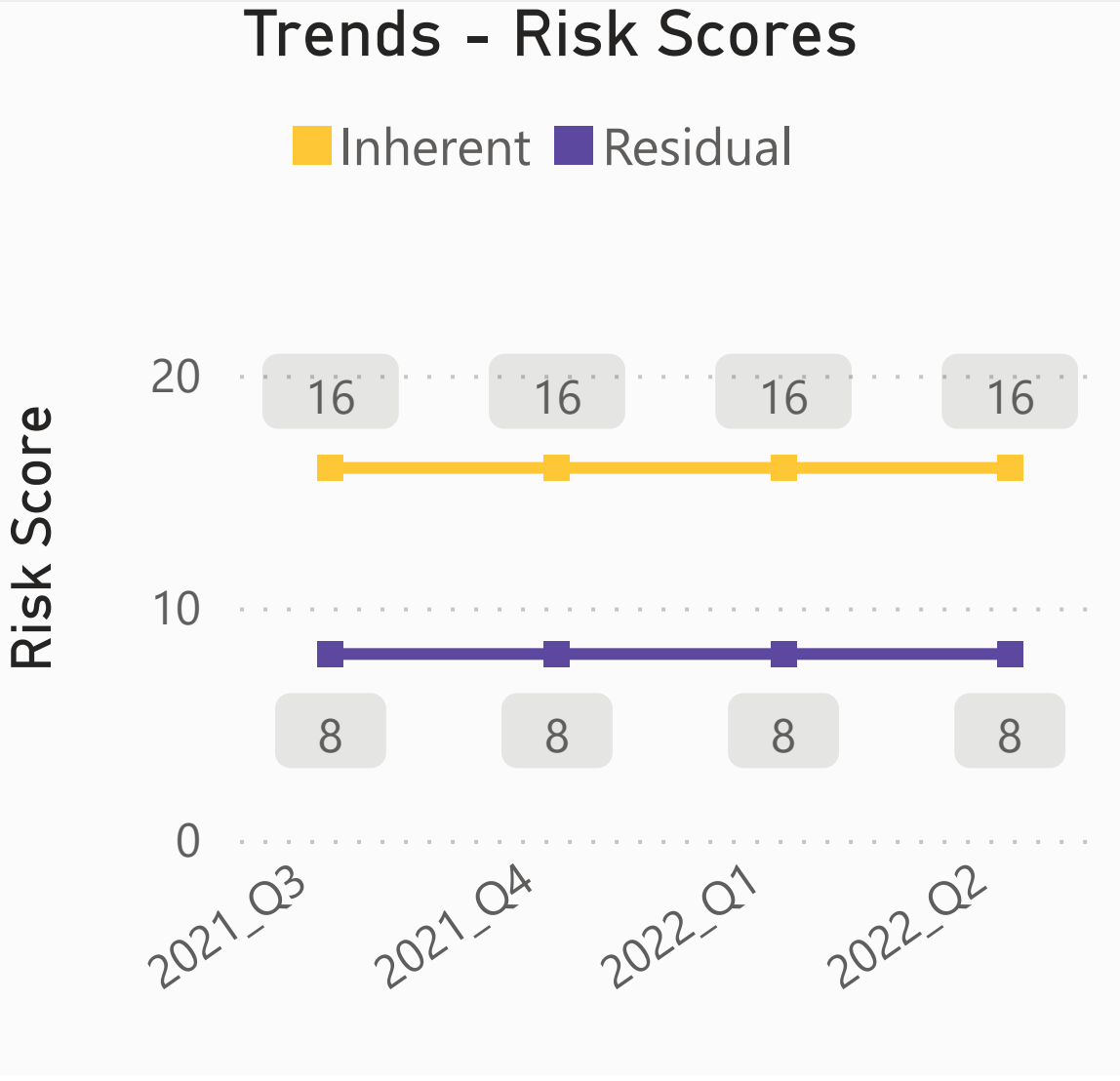
Risk owner:  
Graham, Michael

8

Current Risk S...

Cause:  
User error, lack of policy guidance and procedures, failure of system reminders, staff workloads resulting in insufficient care and attention to details.

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



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
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

Actions and update

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 and ongoing

- Information Management Strategy agreed 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). This is being rolled out in Autumn 2022.
- 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. Ongoing
- 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



Risk:

Lack of effective corporate parenting across the organisation

Register:  
Strategic

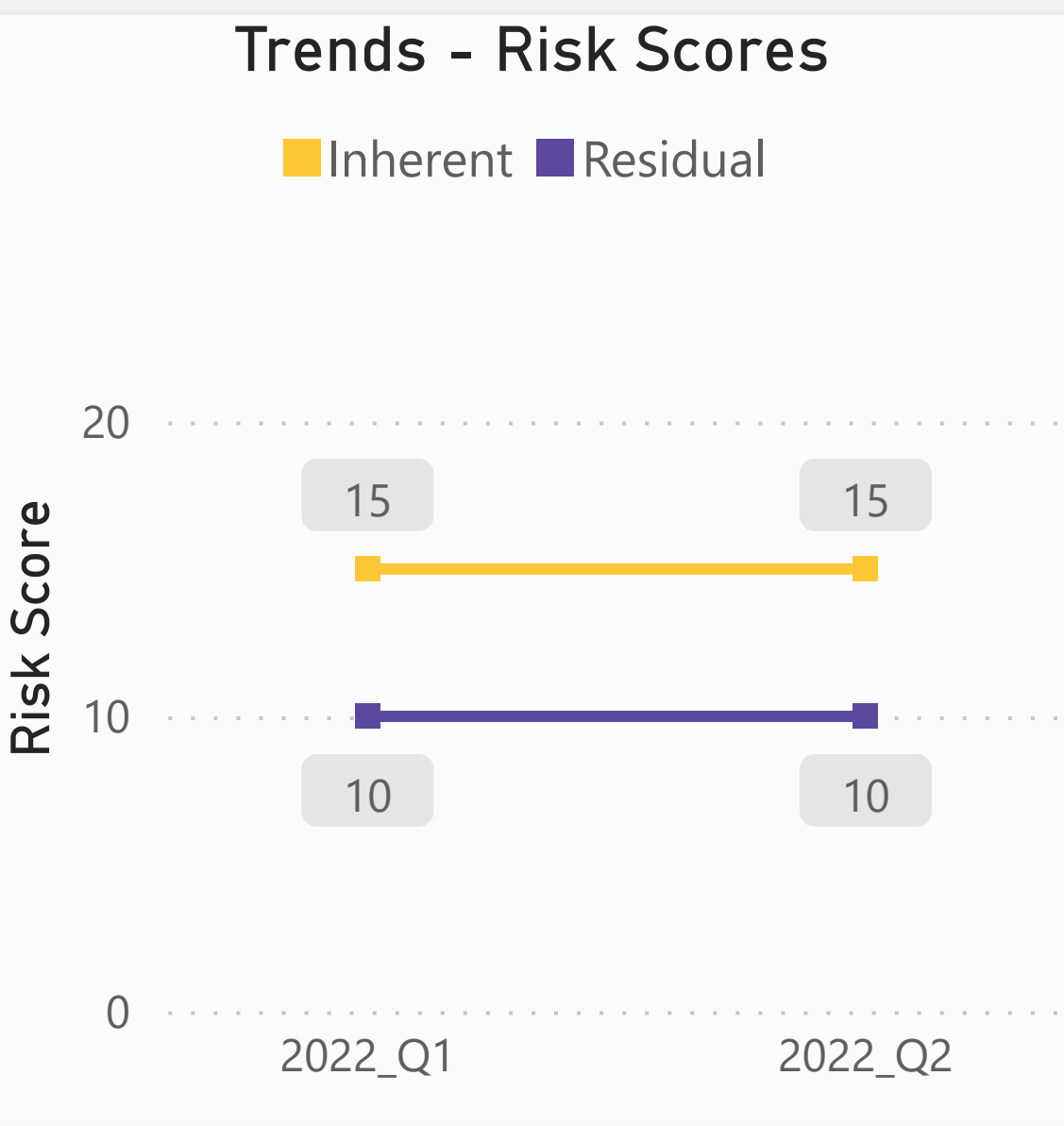
Risk owner:  
Grady, Brian

10

Current Risk S...

Cause:  
A lack of understanding and awareness of the Council's statutory role and responsibilities as Corporate Parent for Reading Children Looked after and Care Leavers; Failure to act in the best interests, and promote the physical and mental health and wellbeing, of Reading children looked after and care leavers; failure to take into account their views, wishes and feelings, to promote high aspirations secure the best outcomes for Reading children looked after and care leavers; failure to ensure access to services;

Potential Impact:  
Reading children looked after experience significant harm and are not safe, without stable home lives, relationships and education or work and are not prepared for adulthood and independent living, leading to long term poor life outcomes.



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)			5	5
Likelihood (Inherent)			3	3
Inherent	0	0	15	15
Impact (Residual)			5	5
Likelihood (Residual)			2	2
Residual	0	0	10	10

Actions and update

Chief Executive and Director Children Services - led work with the LGA to instigate learning and development regarding the Corporate Parenting duties

Mapping across all departments in the Autumn will benchmark all current work supporting Children Looked After and Care Leavers

Risks relating to children's services are managed by Brighter Futures for Children (BFfC), who have their own risk management arrangements.

Working with Local Government Association



Risk:

Provider's ability to meet statutory Adult Social Care requirements

Register:  
Strategic

Risk owner:  
Wise, Melissa

9

Current Risk S...

Cause:

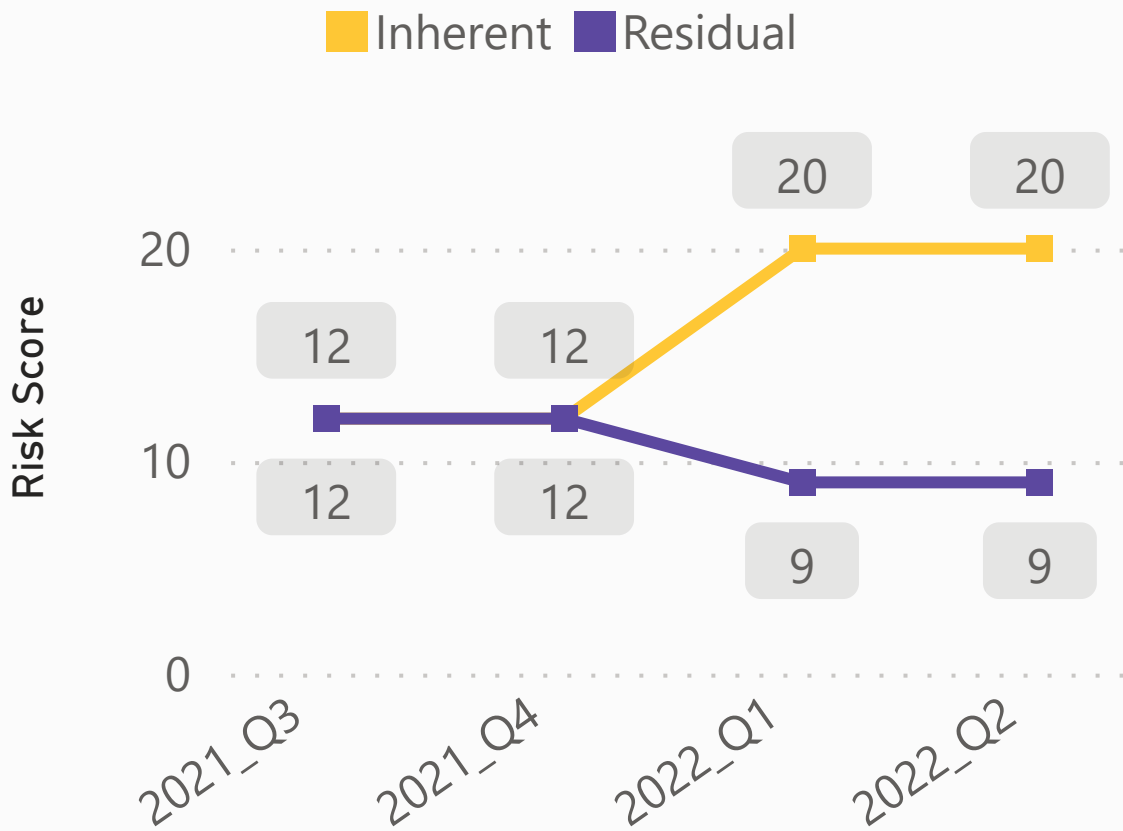
Services receive an inadequate status from the regulator, Pandemic impacts result on limited workforce to deliver services including care homes, supported living, extra care, day services, emergency equipment and other related services

- Potential Impact:
- Disruption to services.
  - Failure to meet Care Act statutory duties
  - Service users required to move due to service closures
  - Increase costs as more expensive service are used to meet needs
  - Increase in the cost of living resulting in providers not able to meet costs
  - Potential death of a service user in service

Actions and update

- Provider service: Business continuity plans have been checked and tested as a result of Covid-19. Their robustness continues to be checked as part of the annual quality assessment process (AQA).
- Key contracts are monitored on a regular basis as part of the contract performance cycle (varies according to risk of contract). This should address any capacity or performance issues that might indicate that there may be issues with financial/general viability.
- Financial risk assessment of prospective suppliers is undertaken for all major contracts let by the Council and annual financial assessment checks where appropriate.
- An up-to-date contract register is in place. which is monitored quarterly through a commissioning board
- Preventative intervention by Quality Officers where providers are failing, this is to support to support them to improve and deliver a sustainable service
- A Provider Failure Protocol is being prepared in the event this is required.
- 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 health team are reported to the consultant in public health on a monthly basis.
- Run recruitment campaigns on providers behalf, act as recruitment agent. Overseas recruitment project in place to secure additional capacity
- Regular communications and quarterly provider forums are in place to identify issues early
- Undertaking a restructure in commissioning which will consider career progression and upskilling

Trends - Risk Scores



Risk Scoring

Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)	4	4	4	4
Likelihood (Inherent)	3	3	5	5
Inherent	12	12	20	20
Impact (Residual)	4	4	3	3
Likelihood (Residual)	3	3	3	3
Residual	12	12	9	9





Risk:  
Staffing - Failure to retain and recruit staff

Register:  
Strategic

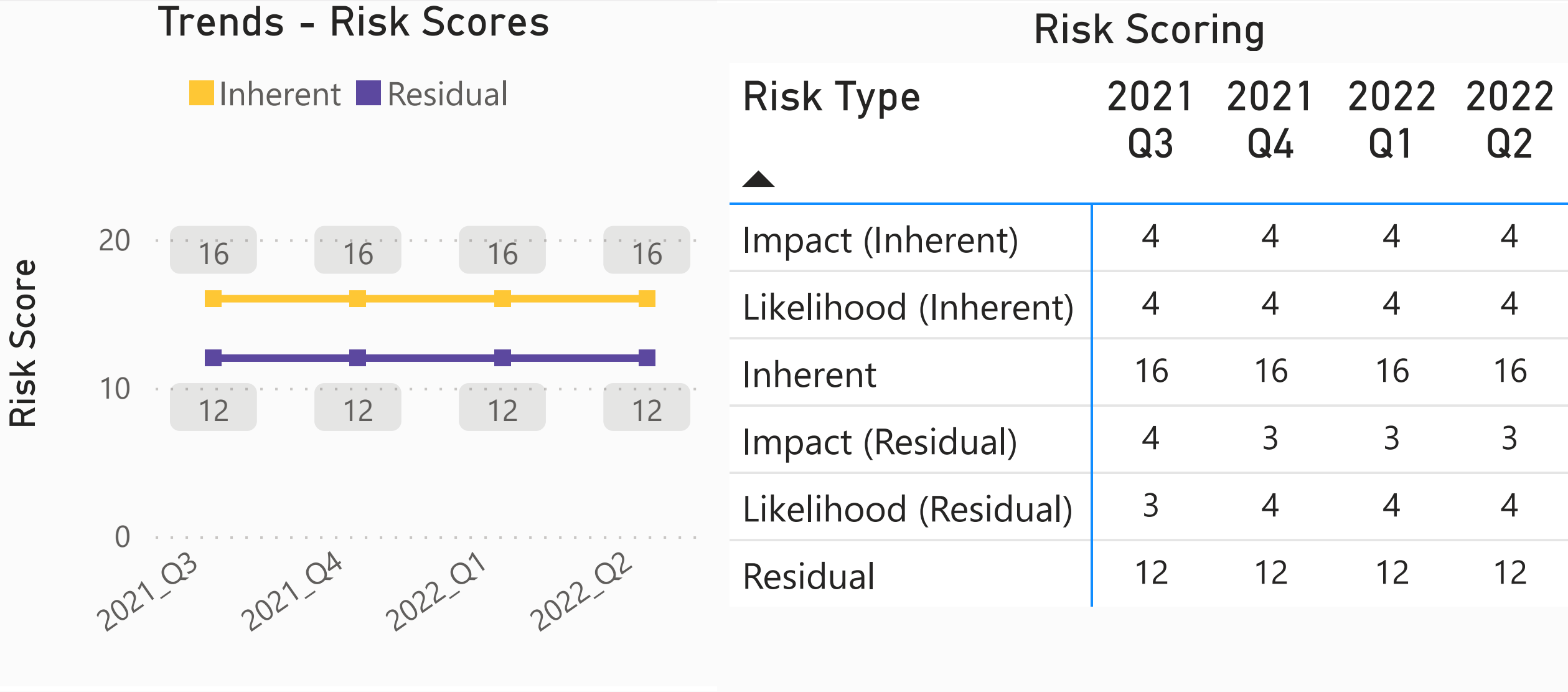
Risk owner:  
Smith, Shella

12

Current Risk S...

Cause:  
For some areas there is a national shortage of skilled staff (e.g. Social Workers, Occupational Therapists, local government lawyers and financial professionals, Planners etc). In other areas local government salaries and the impact of the cost of living crisis may mean that the Council is not able to keep pace with salaries being offered in the private sector (e.g. Surveyors, IT professionals and Drivers) and staff may leave for higher paid jobs in other sectors

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



Actions and update

Access to pool of appropriately qualified temporary staff via agency contract. Contract has been re-procured from February 2021 which will ensure ongoing value for money. The Team Reading Programme is embedded to support delivery of the People Strategy which aims to achieve a highly skilled, high performing and motivated workforce. Programme governance in place through monthly boards with CMT sponsor. Resourcing team well established to ensure proactive 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 63 days. Success rate of recruitment has increased from 55% to about 85%.Whilst fill rates are high for most jobs, there are a small number of jobs in Resources where considerable challenges recruiting have been experienced (e.g., legal roles and senior finance roles where multiple attempts to recruit using a wide range of methods and the addition of market supplements have still been unsuccessful). Staff Surveys were run in 2021 and 2022 which provides valuable insight into how staff feel about the Council as an employer and an opportunity to build on and maintain positive results and address areas for improvement. Four priority areas for improvement have been identified at a corporate level and actions underway to address them, monitored by the Team Reading Programme Board. Pulse surveys will take place in 2022 to track progress Leadership Development Programme underway to ensure managers deliver high quality, inspiring leadership and role model the Team Reading Leadership Behaviours. The Council is part of national pay bargaining so has limited scope to increase pay but market supplement payments can be awarded for particularly hard to fill posts which present recruitment/retention challenges. A communications campaign to continually promote the benefits available to staff is underway (e.g. EAP, benefits platform and discounts with retailers and gym memberships, lease cars scheme, pensions etc). Quarterly reporting of HR performance metrics to CMT and monthly to DMTs, to identify areas of good practice that can be shared, and areas that require improvement so that these can be addressed.



Risk: Unable to achieve the budget savings, manage costs, as a result of cost of living increases and achieving income targets.

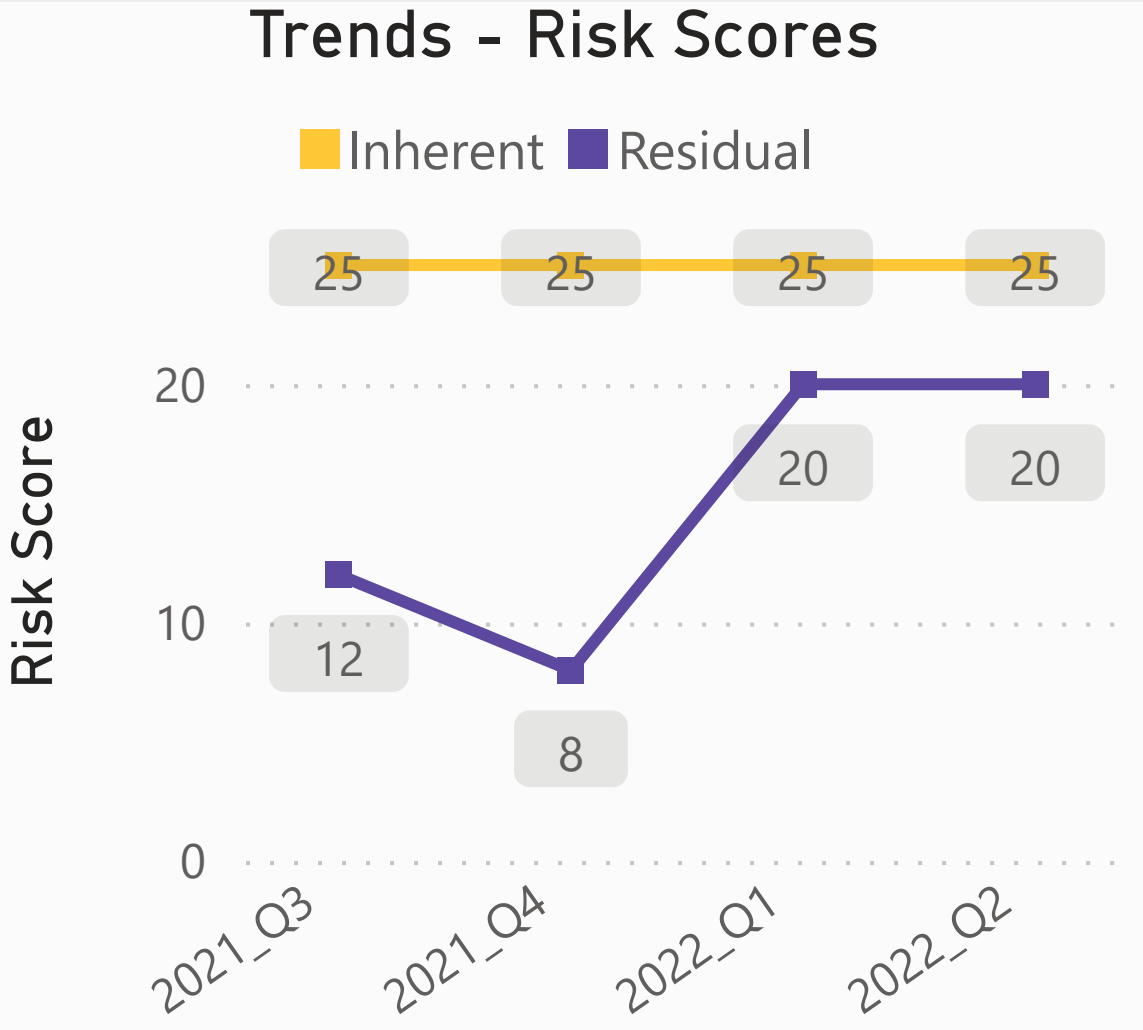
Register: Strategic  
Risk owner: Carter, Darren

20

Current Risk S...

Cause: Overspends, cost of living increase caused by rising rates of inflation and fuel/energy costs, increasing demand, income targets not met

Potential Impact: Strategic objectives and statutory duties not met. Council unable to set legal budget. Impact on front-line services.



Risk Scoring				
Risk Type	2021 Q3	2021 Q4	2022 Q1	2022 Q2
▲				
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	4	4	5	5
Likelihood (Residual)	3	2	4	4
Residual	12	8	20	20

Actions and update

Monthly meetings to review savings Risk profiles, contingencies and reserves identified.

- The Council set a balanced budget for 2022/23 at its council meeting in Feb 2022 and current predictions are that the Council will deliver services for 2022/23 within the approved budget.
- Detailed planning for the 2023/24 budget is underway.
- The Medium Term Financial Strategy (MTFS) 2022/23-2024/25 shows an ongoing budget gap of £5.8m in future years.
- The MTFS projections are being updated to take account of significant factors, including the current record high levels of inflation and will be presented to Policy Committee in December.
- Monthly updates are provided to CMT and Leadership
- New savings and efficiency initiatives are being developed and monitored through the Transformation & Efficiency Board
- A review of reserves will be undertaken by the Director of Finance in Autumn 2022 to ensure that they remain adequate
- Negotiation of robust and competitive energy supply contracts via the procurement process (available evidence suggests current contract is performing well, and 'switching' would be ill-advised at this point in any case)
- Implementation of the forward buying strategy within the Council's energy contract