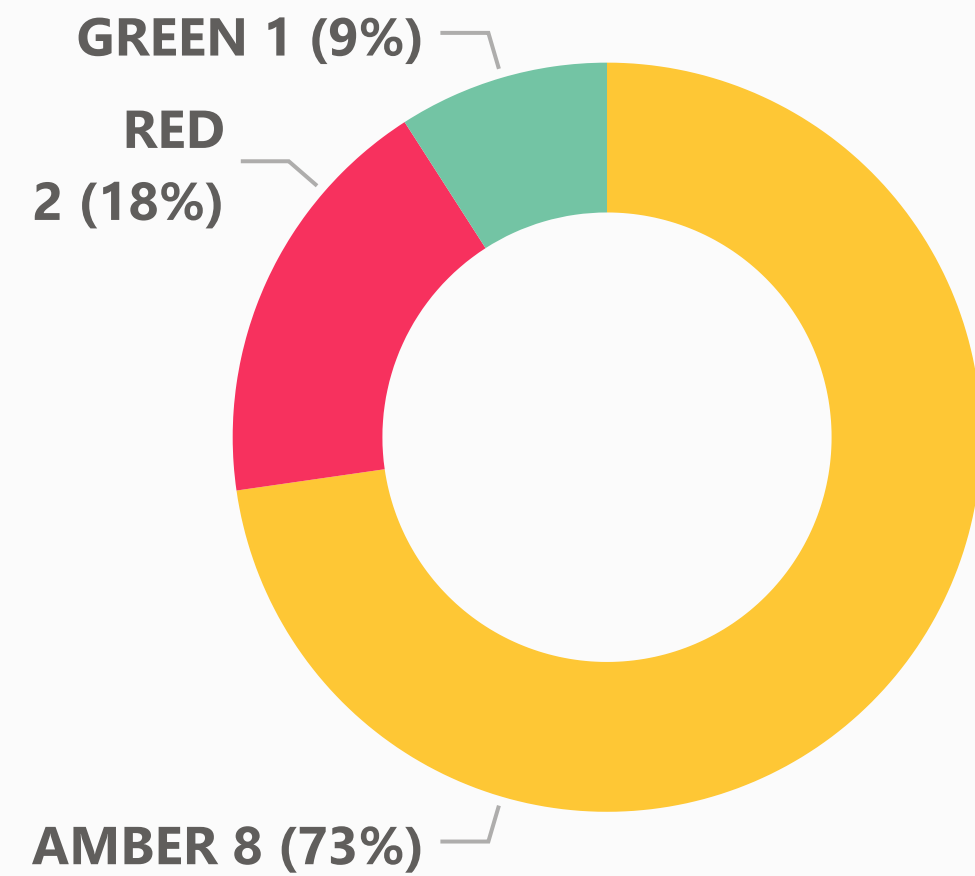
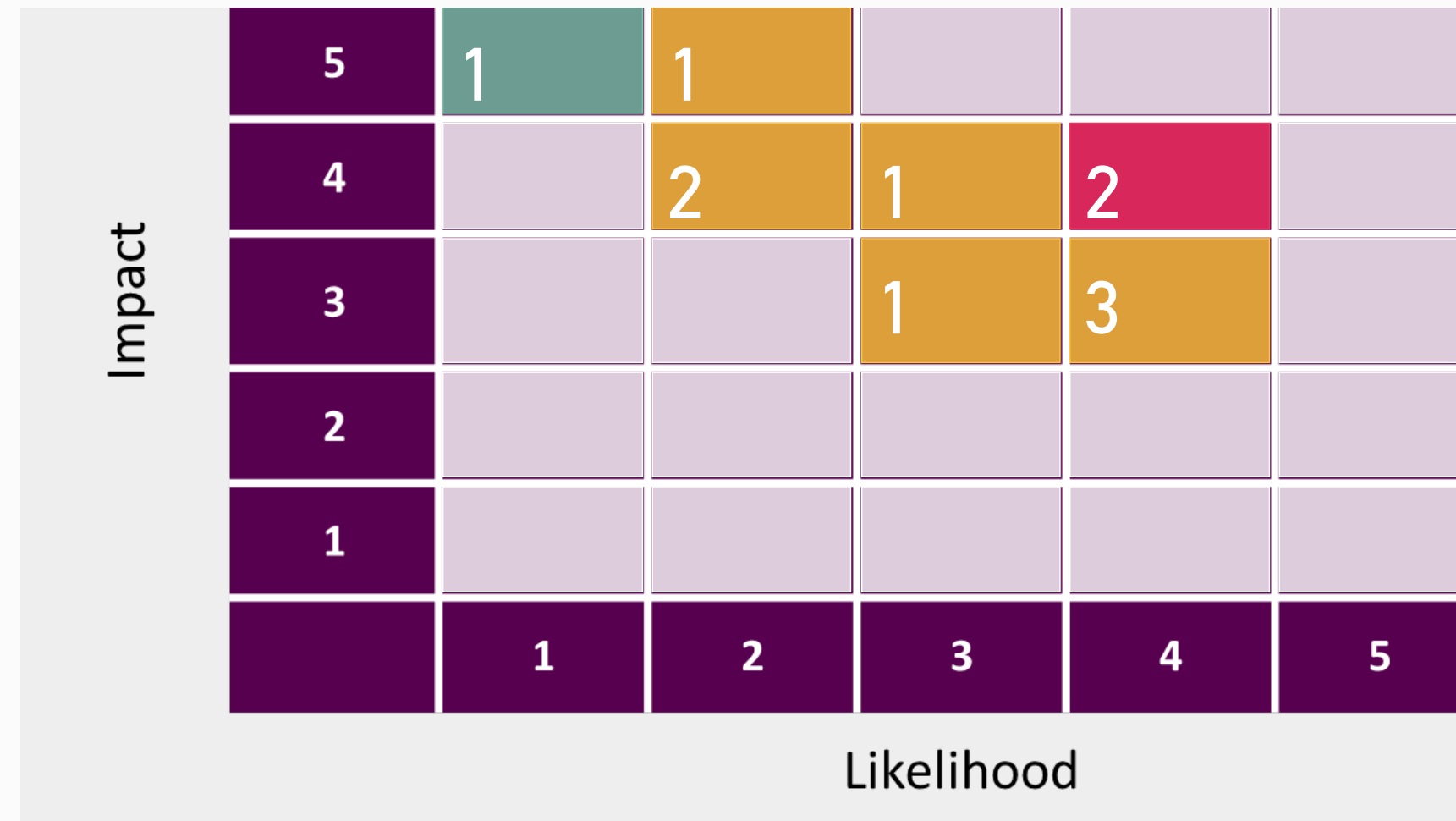




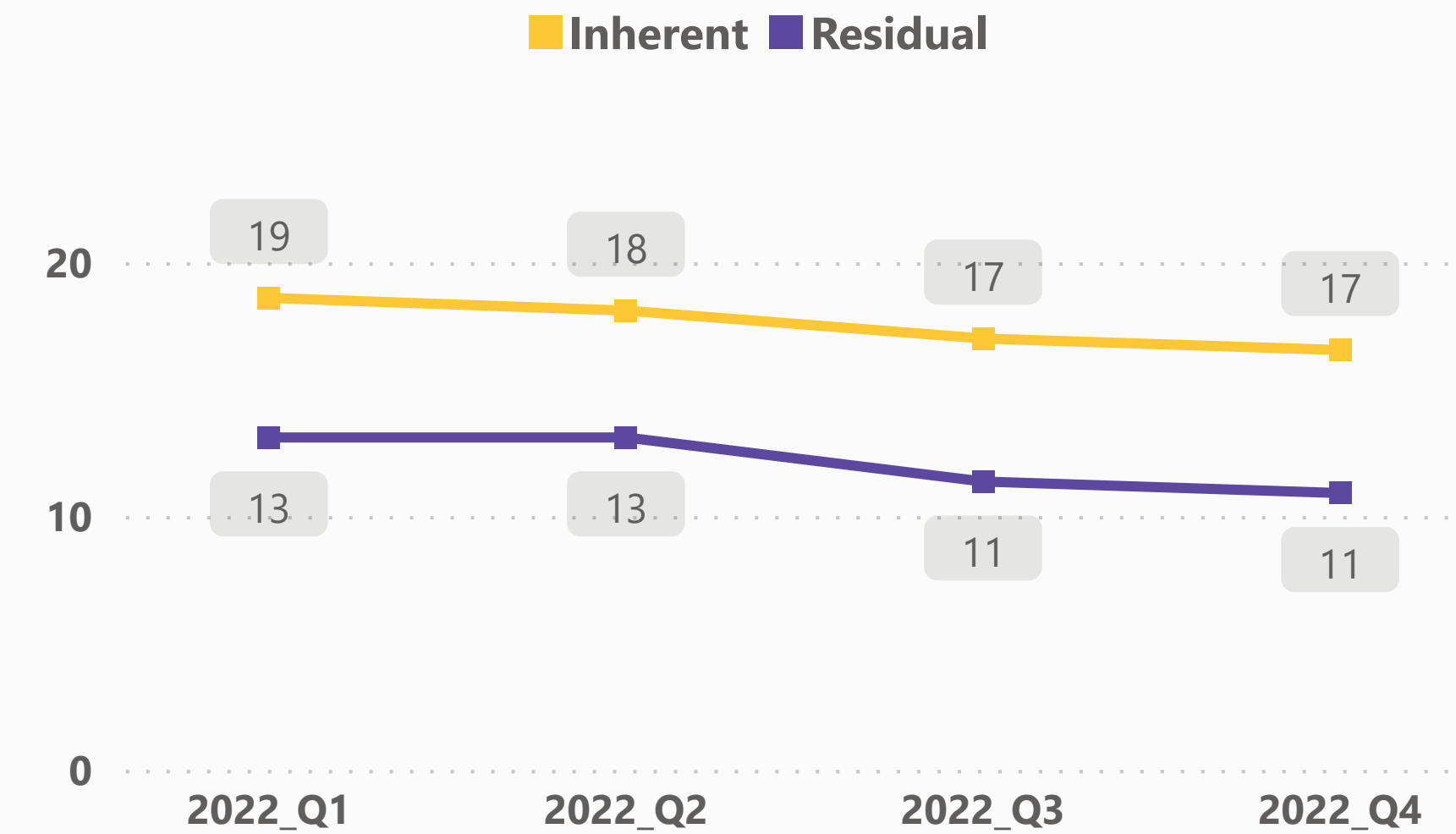
Count of Risk by Status



Risk Distribution



Rolling 4 Quarter Risk Score by Type



Risk	2022_Q1 Residual	2022_Q2 Residual	2022_Q3_ Residual	2022_Q4 _Residual	Current RAG
BfFC - Lack of local special educational needs and disabilities (SEND) placement provision to meet current and future levels of demand	0	0	16	16	
Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.	8	8	8	8	
Cyber - Risk of loss from cyber attack	20	20	16	16	
Failure to adapt to the impacts of climate change	12	12	12	12	
Failure to deliver zero carbon commitments	20	20	12	12	
Failure to implement the social inclusion agenda within the Borough	12	12	12	12	
Failure to manage a significant outbreak of a communicable disease(s)	9	9	9	9	
Failure to safeguard vulnerable adults and children	10	10	10	10	
Information Governance - Failure to protect personal data	8	8	8	8	
Staffing - Failure to retain and recruit staff	12	12	12	12	
Unable to achieve the budget savings, manage costs, as a result of cost of living increases and achieving income targets.	20	20	10	5	



Risk:  
BFfC - Lack of local special educational needs and disabilities (SEND)  
placement provision to meet current and future levels of demand

Register:  
Strategic

Risk owner:  
Patel, Lara

16

Current Score

Cause

Risk that the needs of children with SEND cannot be met in Reading and/or Out of County placements will be required, leading to costs exceeding budget and poorer outcomes for the children in question.

Potential Impact

Risk that the needs of children with SEND cannot be met in Reading and/or Out of County placements will be required, leading to costs exceeding budget and poorer outcomes for the children in question.



Risk Scoring

Risk Type	2022 Q1	2022 Q2	2022 Q3	2022 Q4
▲				
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

Background information

The LA has a statutory responsibility to provide sufficient school places for pupils, including those with Special Educational Needs and Disabilities (SEND). Brighter Futures for Children (BFfC) works in partnership with RBC and other stakeholders to discharge this duty. There is a national and local shortage of resources and placements for children within SEND, in addition to an increase in demand for support and services. Following a steady increase in the number of Educational Health and Care Plan's (EHCP) since 2018 there has been a sharper increase in EHCP's in 2022/2023, which has been at a higher rate than the increase in the population of children and young people, meaning that a higher proportion of pupils now have an EHCP. Following the period of the pandemic more children and young people are being identified as having SEND, including in the early years, particularly increased levels of speech, language and communication needs and social and emotional mental health needs. There has also been an increase in children with autism. Collectively these needs have resulted in the increase in EHCP's.

Existing mitigations

- The local area SEND Strategy 2022-27 sets out partnership actions to identify and respond to needs of children with SEND at the earliest opportunity and in the most efficient way and develop the appropriate range of provision to meet need. **In progress.**
- New free special school confirmed as opening in September 2023 will provide 75 places for children, as a joint partnership between Reading and Wokingham Councils. There will be a phased opening with a total of 33 places from September 2023, 17 of which have been secured for Reading children. **In progress**
- Further places being sought from local schools to deliver Additionally Resourced Provision and specialist places. BFfC and RBC have undertaken work to appraise options, including RBC owned assets and schools sites to secure more mainstream and specialist school places for children with SEND. **In progress**
- Two independent special school providers have established additional local provision in the past nine months, which is helping meet immediate need for places for children with Special Educational Needs and Disabilities. Exploring options with other providers to establish provision in the area for 2023/24 continues. **In progress**
- Brighter Futures for Children and RBC are engaged with the Department for Education on the Delivering Better Value project which seeks to address pressures on the High Needs Block including sufficiency of Special Educational Needs and Disabilities places. Phase 1 concluded on 3/3/23, identifying priority areas which will most improve sufficiency. Phase 2 begins w/c 13/3/23 with case audits & assessment of priority areas. Phase 2 is informing a deeper understanding of both the need and cost drivers in our local system to identify the top three changes we could make that would have the greatest impact. This will inform the submission of a proposal for further DfE investment in by June 2023. The investment will contribute to the development of a more inclusive system that prevents the escalation of need. **In progress.**

Specific Actions Required

	Title	Date for completion	Status	▲
1	Complete Delievering Better Value work to agree priorities for investment and action	31/05/2023	In progress	
2	Review Early Years funding to prevent the requirement for an EHCP	31/08/2023	In progress	
3	Increase number of places available for children with SEND in mainstream schools by developing additionally resourced provision with appropriately skilled staff and by developing SEND advisory support	31/08/2023	In progress	
4	Increase number of specialist school places for children with SEND	31/08/2024	In progress	
5	Continue to improve transition to adulthood planning for children with SEND by closer working with Adult Social Care	31/08/2023	In progress	▼





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

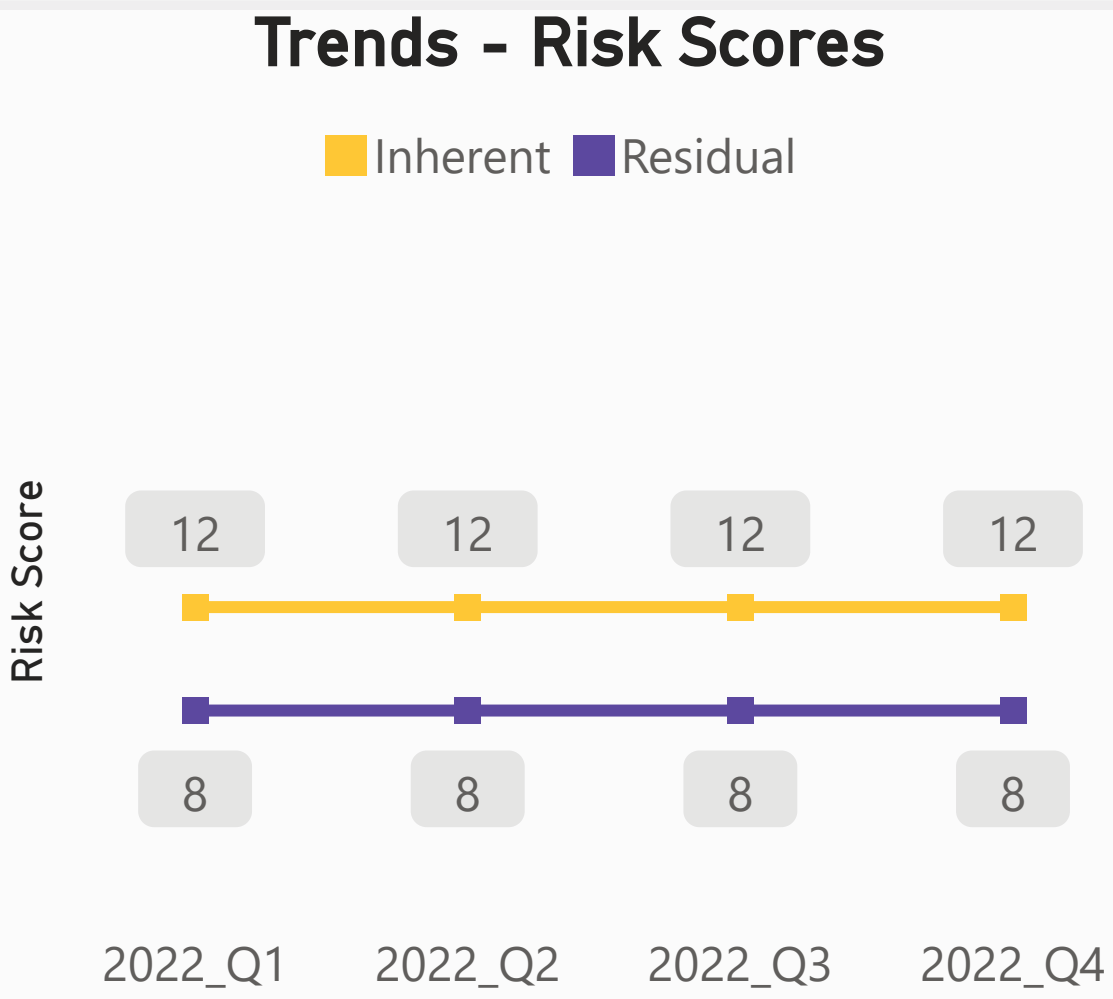
Register:  
Strategic  
  
Risk owner:  
Graham, Michael

8

Current Score

Cause  
Corporate mismanagement

Potential Impact  
Risk that the Council fails to have in place appropriate oversight and scrutiny of its companies (Reading Transport Ltd, Brighter Futures for Children Ltd, Homes for Reading Ltd and Reading Hampshire Property Partnership Ltd) and is unaware of risks to those companies (pension fund deficits, GDPR compliance etc) and is impacted by an unplanned exposure relating to those companies. The risks could be financial, legal or reputational.



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

Background information

The Council owns, or has a significant interest, in a number of companies either as shareholder or member. Whilst these companies do operate services for specific reasons, they have to be managed within a comprehensive governance framework to ensure there is effective oversight by the Council. This will allow the Council to properly discharge its duties as shareholder or member.

Existing mitigations

- The Council commissioned a review of the governance and performance of Reading Transport Ltd (RTL). As a result, new appointments were made to the Board for non-executive directors. A new independent non-executive Chair has also been appointed. **Completed 21/22**
- Regular Contract Management Group meetings are in place with Brighter Futures for Children Ltd (BFfC) . 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. **In progress**
- There are contract governance arrangements in place with Brighter Futures for Children to monitor company performance, including monthly financial reporting and bi-monthly (once every 2 months) . **In progress**
- **In progress**

⬅ Go back

Specific Actions Required

	Title	Date for completion	Status
1	Seeking to ensure greater consistency of Council / Company oversight through review of respective Company Articles and governance.	30/07/2023	In progress
2	The Council has commissioned and independent review of the business model for Homes for Reading Ltd in light of possible changes to the local government borrowing regime.	30/07/2023	In progress



Risk:

Cyber - Risk of loss from cyber attack

Register:

Strategic

Risk owner:

Chalmers, Martin

16

Current Score

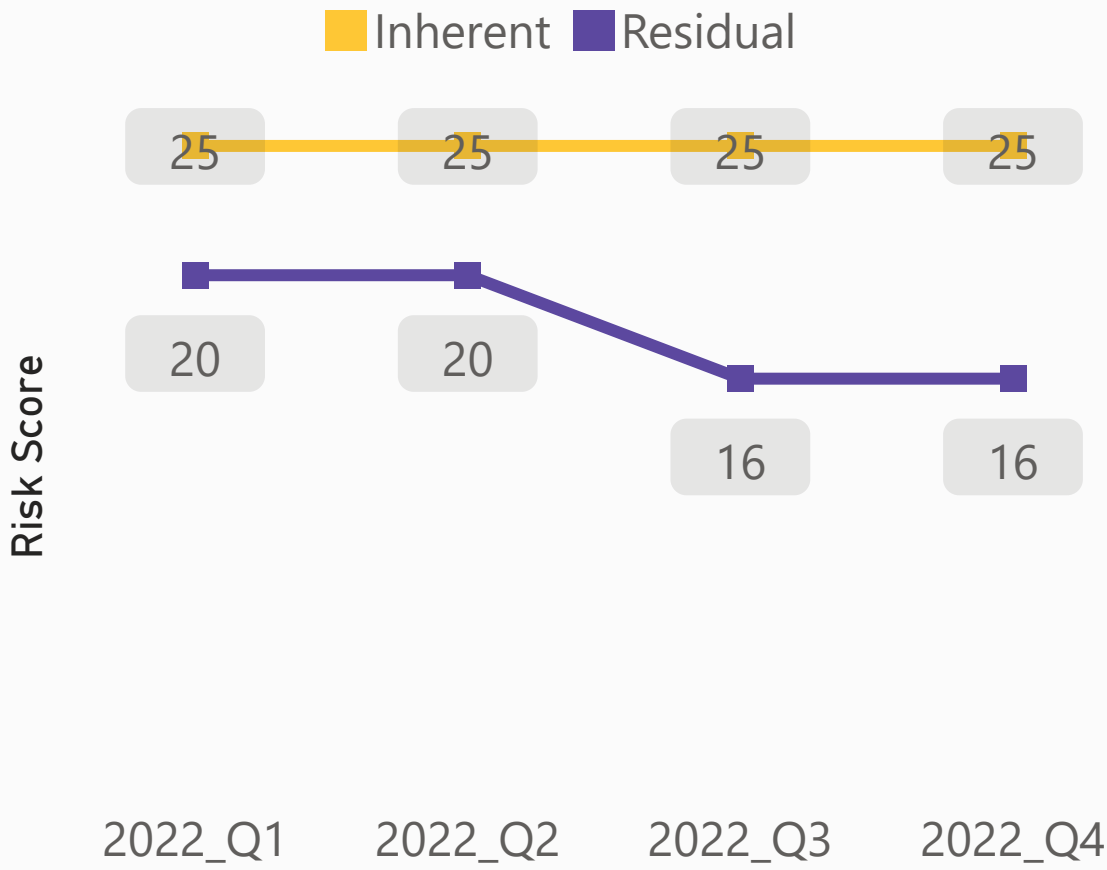
Cause

Attack by hostile nation states, criminals or activists. Likelihood remains high. The continuing evolution of the threat environment means that the likelihood will remain high, notwithstanding the sitions 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)).

Potential Impact

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

Trends - Risk Scores



Risk Scoring

Risk Type	2022	2022	2022	2022
	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	4	4
Residual	20	20	16	16

Background information

The continuing evolution of the threat environment means that the likelihood will remain high, notwithstanding the significant set of actions in place. The purpose of our investment in counter measures is to avoid even higher likelihood and to maximise ability to mitigate impact

Existing mitigations

- 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). **Complete**
- Cyber resilience planning and rehearsal Limited exercise run in Legal & Democratic Services; wider exercise being explored as part of Business continuity Planning but may be deferred into 23-24 to enable lessons learned from Legal exercise to be reflected into plans of all. - **In progress**
- The Information Governance Board is working with the Business Continuity Planning Officer to improve cyber awareness on the part of those developing Business Continuity Plans and to assess whether the risk is being adequately covered, in preparation for the proposed exercise (previous bullet).
- Staff awareness and training is critical. Training (including annual refresher training) has been made mandatory. Brighter Futures for Children (BFfC) has now also made cyber training mandatory. A refresher course will be compulsory in 2022/23, has been launched. **Complete - but monitoring and driving of take up will be an ongoing requirement.**
- External certification of cyber measures (Internal assessment conducted; technical issues are being addressed; some issues require joint action with business; further assessment against Local Government Cyber Assessment Framework to be conducted, funded by Future Councils grant. - **In progress**
- 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. Assistant Director Legal & Democratic Services has been appointed as cyber security champion for Corporate Management Team (CMT), and a similar role is played in Council by the Lead Member for Corporate & Customer Services. **Complete**
- Cyber insurance **Complete (and ongoing)**

⬅️ Go back

Specific Actions Required

Title		Date for completion	Status
1	Conduct Local Government Cyber Assessment Framework assessment and complete remediation plan	29/06/2023	In progress
2	Implement improved defences against attack from Internet via email and internet	31/01/2023	Complete
3	Achieve Cyber Essentials Plus certification	29/09/2023	In progress
4	Conduct cyber resilience rehearsal	29/09/2023	Not started





Risk:

Failure to adapt to the impacts of climate change

Register:  
Strategic

Risk owner:  
Martin, Frances

12

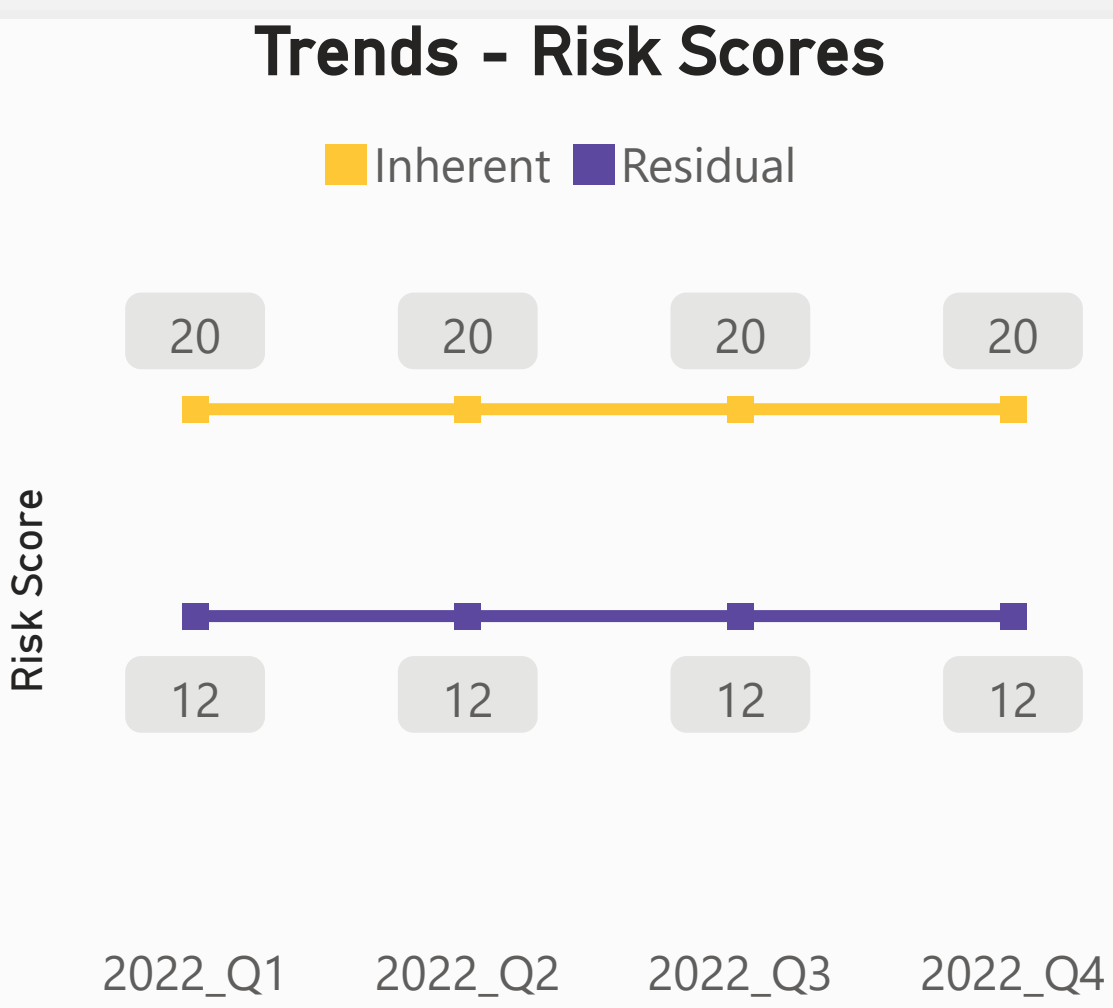
Current Score

Cause

Inadequate planning and preparedness and long-term planning to adapt to the impacts of climate change.

Potential Impact

Climate change impacts (hotter drier summers, warmer wetter winters, and more extreme weather events) 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 coming decades, in the context of global warming which is 'baked in' as a result of historic emissions.



Risk Scoring

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

Background information

Flood Risk: the Council is responsible for surface water flooding and produced a Local Flood Risk Management Strategy in 2015.

Heatwave risk: various local agencies, including the Council and National Health Service (NHS), participate in the Berkshire Heatwave Plan and England Heatwave Plan.

Existing mitigations

- 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, though the Agency's decision not to proceed with the Reading & Caversham Flood Alleviation Scheme raises questions about how to address the inherent flood risk which remains. **In progress**
- Heatwave risk: various local agencies, including the Council and National Health Service (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. Changes to working practices to protect staff will also be needed (e.g. refuse crews were sent out an hour earlier to avoid the heat of the day in summer 2022) **In progress**
- 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. **In progress**
- 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. Compliance with the requirements for climate impact assessment in Committee reports will be audited shortly. **In progress**
- 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. The Local Plan monitoring process should enable assessment of how well these policies are being applied, and the Local Plan review provides an opportunity to revisit policies which may support resilience to climate impacts **In progress**
- An internal audit process 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 within the next few months. **In progress**

⬅️ Go back

Specific Actions Required

Title	Date for completion	Status
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Risk:

Failure to deliver zero carbon commitments

Register:

Strategic

Risk owner:

Martin, Frances

12

Current Score

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

The main direct impacts on the Council are, however (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. The 'impact' score is therefore based on this rather than the ultimately catatrophic impacts which will arise in the long-term from unmitigated climate change (see also 'Failure to adap to climate' risk card).

Background information

Failure to deliver the Councils net zero commitments will ultimately contribute to catastrophic climate change impacts through the 'contribution' of greenhouse gas emissions from Reading will ultimately be indistinguishable from that of other jurisdictions

Go back

Existing mitigations

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 (SEPT) Committee November 2020) **Complete - delivery in progress**
- Reading Borough Council produces its own Corporate Carbon Plan to set out its pathway to net zero and action required (adopted by Strategic Environment, Planning & Transport Committee November 2020) **Complete - delivery in progress**
- Annual Reports on progress on both the Climate Strategy and Carbon Plan are presented to Strategic Environment, Planning & Transport (SEPT) Committee on the anniversary of their publication **Complete as of end of 2020**
- 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 **Complete - periodic audit of compliance required (next audit Q1 2023-24)**

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. **In progress**
- 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. **In progress**

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. **In progress**

The annual progress report on the Reading Climate Change Strategy in November 2022 highlighted that while progress was being made with Borough-wide emissions reduction (which have been cut by 55% since 2005, the 4th largest reduction out of 374 UK local authorities), 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) - achieving a 71.3% cut since 2008/09. **In progress**

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:

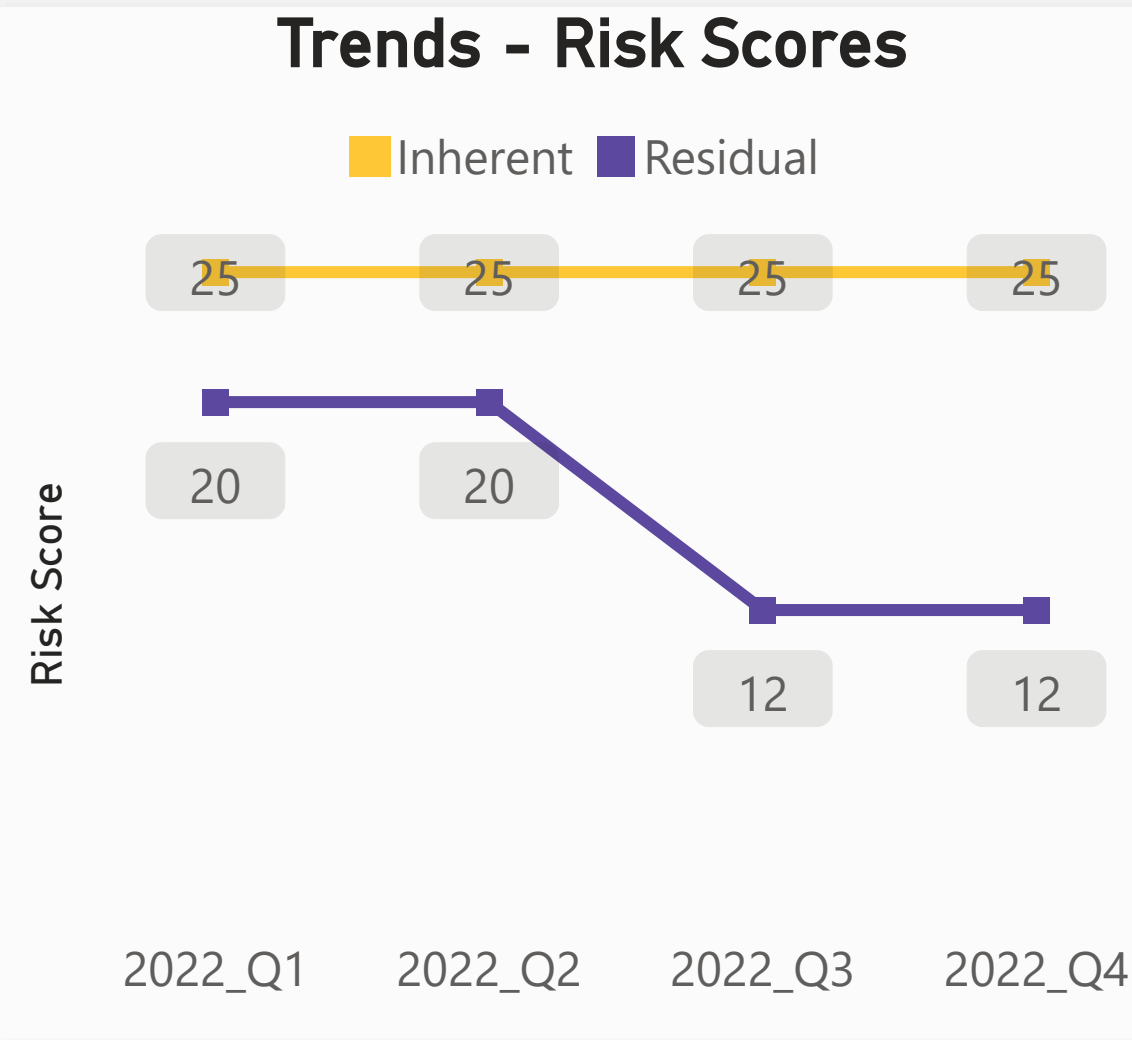
- Clear identification of responsible teams/officers for actions in the Reading Climate Emergency Strategy where RBC is listed as a delivery partner, with these actions being better reflected in the Service Plans of relevant services - this work was **completed in September 2022** and guidance has been issued to Assistant Directors' on how to reflect climate action in Service Plans from 2023-24
- Clearer articulation of timescales and accountability for various actions in the corporate Carbon Plan - this was **completed in November 2022** and, again, guidance issued to Assistant Directors on reflecting these actions in Service Plans from 2023-24
- Improved support and training for officers and services to embed climate action in their work - a climate module is now included in staff induction, guidance on climate assessment in Committee Reports has been produced, and sessions on climate have been included in Team Talk and Senior Leadership Group meetings. Further work is needed, however, to develop a more comprehensive 'carbon literacy' training offer. **In progress**

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.

The Council will work with partners to initiate a review of the Climate Emergency Strategy in 2023 as long lead times are required to enable the appropriate level of community and stakeholder engagement in preparing to update the Strategy for the period 2025-2030. **Process initiated with report to Reading Climate Change Partnership Board January 2023.**

Specific Actions Required

Title	Date for completion	Status
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Risk Scoring

Risk Type	2022 Q1	2022 Q2	2022 Q3	2022 Q4
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	5	5	3	3
Likelihood (Residual)	4	4	4	4
Residual	20	20	12	12





Risk:

Failure to implement the social inclusion agenda within the Borough

Register:

Strategic

Risk owner:

Yates, Jackie

12

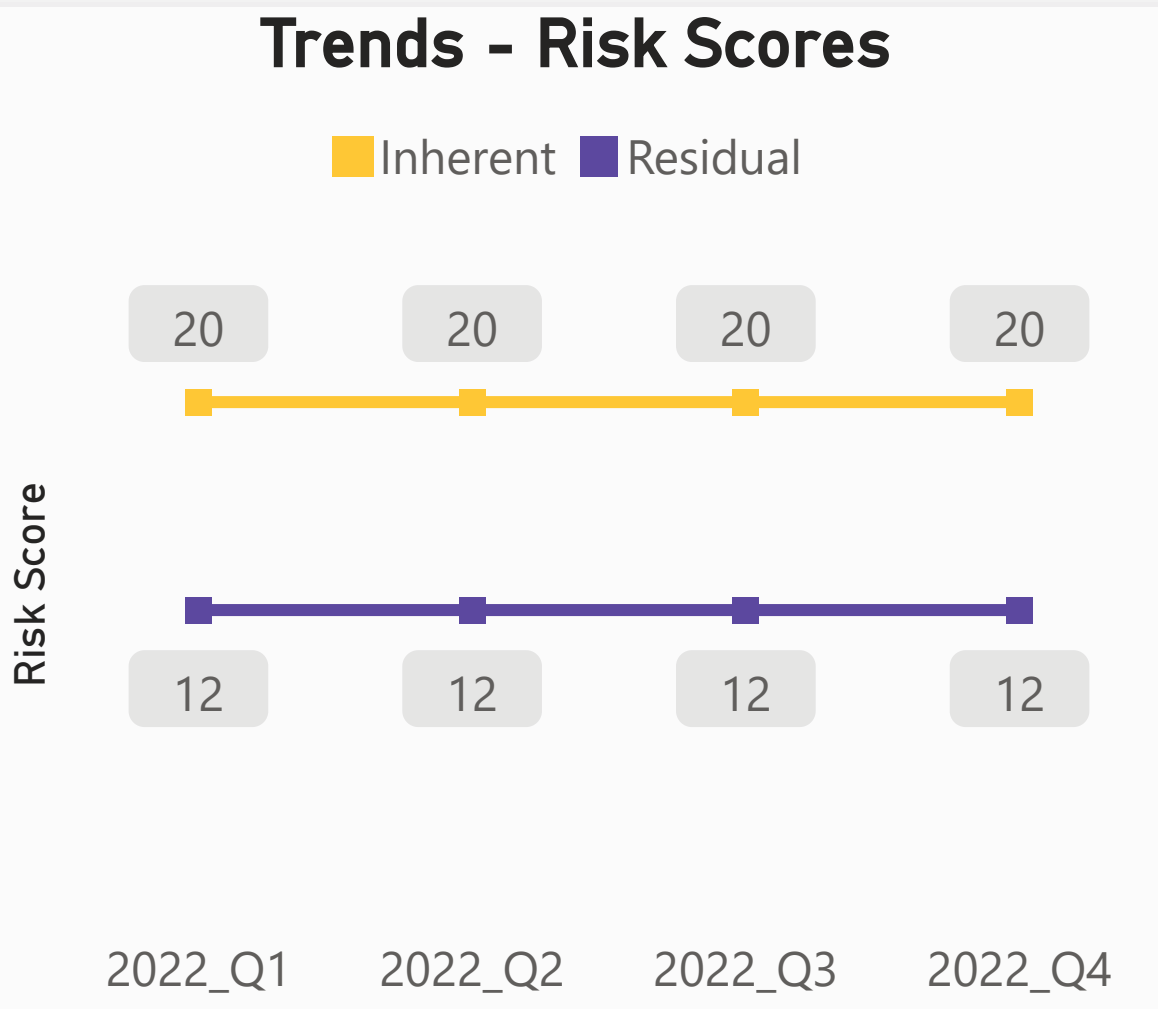
Current Score

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.



Risk Scoring				
Risk Type	2022 Q1	2022 Q2	2022 Q3	2022 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

Background information

The most recent national analysis of deprivation (Index of Multiple Deprivation (IMD) 2019 & 2021 census) highlighted that within Reading there are some areas that are within the bottom 5% of the country for education, skills, and training, and for income deprivation affecting both children and older people. These pockets of substantial deprivation exist within broader areas of the borough which are within the bottom 10% and 20% of areas of the country for overall deprivation.

Go back

Existing mitigations

- Presentation to Voluntary and Community Sector (VCS) Assembly - Complete
- Place-Based Pilots - set up meeting - Complete
- Social Inclusion funding agreed for 2022/23- 2024/25 Complete
- Social Inclusion Strategy (now the Tackling Inequality strategy) and action plan to go to Policy Committee in Jan 23 Complete
- New Social Inclusion and Voluntary & Community Sector (VCS) Partnership Manager appointed to focus on developing the strategic partnership with the Voluntary & Community Sector and coordination /visibility of activity taking place across the Council. Complete
- Further post to be appointed to. In progress
- Voluntary and Community Sector strategic action plan agreed and work commenced. In progress
- 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, commissioning work to address skills and education, using a place based approach to address the barriers to education, provide oversight on key work programmes such Voluntary & Community Sector action plan, Community Health Champions, Volunteering for Reading road map. Detailed work programme to be presented to Policy Committee in October 2022. Ongoing
- Closing the Gap – Phase 1 of the prospectus for £1.3m 3yr Commissioning framework with the Voluntary & Community Sector completed. Covering three priorities: Getting out and staying out of Poverty; Building Community wellbeing and resilience; and Voluntary & Community Sector Infrastructure. Phase 2 commissioned to increase capacity for Debt and Money Management advice and support, targeted peer support for autistic, learning disability, and deaf communities. Complete
- Small Grants Scheme – phase 1 scheme delivered and distributed around £100k of funding. Phase 2 to allocate a further £100k in October. Complete
- New work experience offer designed for schools and more targeted approach to apprentice recruitment to be implemented. Ongoing
- Procurement activity to ensure the Council's Social Value aspirations are effectively embedded delivering additional training, job opportunities, infrastructure etc. Ongoing
- New Education Strategy being drawn up by Brighter Futures for Children reflecting the need to boost aspiration and attainment. Ongoing
- Refugee Settlement Schemes in place and resourced to support to; Ukrainian, Afghan and Syrian refugees. Ongoing
- Accessible information and Communications strategy adopted in November 2021 covering; accessible information standards online (Web Content Accessibility Guidelines (WCAG) Accessible 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. Ongoing
- 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. Ongoing
- 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 Ongoing
- 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. Ongoing
- 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. Ongoing
- 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. Ongoing
- Increasingly cultural services, including the museum, are adapting services for adults and children who are neuro-diverse. Ongoing
- Reading Museum provides a reminiscence service that can be sent out to care homes and other organisations around Reading. The Museum regularly goffers project work to schools in areas of deprivation. Ongoing
- Place-Based pilots project developed December 2022 and to be launched 1st Quarter of 2023 In Progress

Specific Actions Required

Title	Date for completion	Status
▲		





Risk:

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

Register:  
Strategic

Risk owner:  
Daszkiewicz, Tracy

9

Current Score

Cause

Lack of specialist staff capacity resources to manage the situation

Potential Impact

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



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

Background information

Local authorities statutory responsibilities fir public health are set out in the Health and Social Care Act (2012) Regulation 8 imposes a duty on local authorities to provide information and advice to certain persons and bodies within their area in order to promote the preparation of, or participation in, health protection arrangements against threats to the health of the local population, including infectious disease, environmental hazards and extreme weather events. This also encompasses Regulation 6 which requires local authorities to provide, or make arrangements to secure the provision of open access sexual health services in their area including HIV. Each area should have or be part of a Health Protection Partnership which enable horizon scanning for risks and processes for mitigation and response. Pandemic Influenza remains the highest risk to health in the UK and therefore each area should have a Pandemic Influenza plan in place that is widely understood, exercised and annual review of business continuity planning. These structures are not in place and therefore we are not meeting our mandatory requirements on health protection. There is also fragmentation as the DPH has no oversight of emergency planning in terms of join up on preparedness, response, and recovery of major incidents.

Section 30 of the 2012 Act8 requires each upper-tier local authority, acting jointly with the Secretary of State, to appoint a director of public health whose role is integral to the duties for health improvement and health protection.

Existing mitigations

- Continue to support vaccine rollout and use data to consider where hesitancy exists. This is progress in Reading and targeted work was undertaken during Covid to reach communities where there was reduced take up. This same targeted approach needs to be established across all vaccination streams, most notably influenza as pandemic flu remains the highest risk on the national risk register and low uptake of vaccination correlates with high impact on services. Focus of vaccine uptake should also include all immunisation programmes from new born work with Integrated Care Partnerships, Primary Care Networks and higher education settings for Measles, Mumps & Rubella catch up awareness **In progress** through to shingles and pneumonia in the elderly. This should be a focus on the Health Protection Annual report to the Health and Wellbeing Board. **In progress**
- Local Contact Tracing has ended following the Living with Covid announcement by the government **Complete**
- Service delivery and risk assessments pertaining to business continuity plans in relation to pandemic flu form part of the annual health protection exercise across the Council sit with Services/Directorate. There is no recorded evidence that this is in place in the absence of an annual health protection annual report **In progress**, in association with the health protection review and establishing a partnership and forward planning for the health protection annual report. Essential aspects of this are:
  - Update the Pandemic Flu Plan and review procedures **Not started**
  - Undertake a flu exercise **Not started**
  - Ensure Flu is a consideration is a consideration in all Business Continuity Plans **Not started**
- Establish a robust structure for dealing with Health Protection, from preparedness through response to recovery **In progress**. A full review of these structures are underway. Good structures were established during Covid across Reading and these have served well in supporting additional need such as settlement of Afghanistan nationals and Ukraine refugees. A partnership needs to be established, building on this success, so there is a forum for bringing together Public Health, social care, emergency planning, housing and screening and immunisations to meet Public Health statutory requirements around health protection and resilience, to plan, exercise and mitigate risk and establish a clear process should response be required.
- Create a Health Protection Board to focus on all Infectious diseases, mandatory requirement under the Health &Social Care Act 2012 **In progress**. A proposal on the establishment of a Health Protection & Resilience partnership is being developed, following a review and mapping of existing processes, this will come to Corporate Management Team for initial discussion Feb 2023.
- Staffing capacity - there is a need for additional staffing support - health protection specialist required. **In progress**. A job description has been developed with the intention of filling this role on a Full Time Contract for 12 months from non recurring funding, to help establish working practices, update plans and put in place systematic exercising.
- Closer alignment of health protection to emergency planning **In progress**. This will form as part of the new partnership. These disciplines sit closely together in an incident, and the need to ensure the public health aspects are considered.
- Emergency response structure continues to operate This is in place across the council, public health has not previously been called to the table automatically, Again Covid brought inclusive working, enabling this same engagement at an Strategic Coordinating Group and Tactical Cordinating Group and Recovery arrangement in all incidents will enable fuller Public Health contribution; i.e fire, flood, weather,
- Thames Valley Local Resilience Forum being supported **In progress**. Currently the Department for Public Health sits on the Local Resilience Forum executive and co-chairs the Local Health Resilience Partnership. No mechanism in place for linking Public Health risks identified within the Local Resilience Forum back to the Council to ensure they are addressed.
- 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. **In progress**
- The council has been successful and is heavily involved in supporting the National Health Service (NHS) to successfully deliver Covid vaccination to the local population. Including the Community Vaccine Champions scheme to increase targeted take up **In progress**
- The government has set out its Living with Covid Plan **Complete**

Specific Actions Required

Title	Date for completion	Status
▲		





Risk:

Failure to safeguard vulnerable adults and children

Register:

Strategic

Risk owner:

Ross, Susan

10

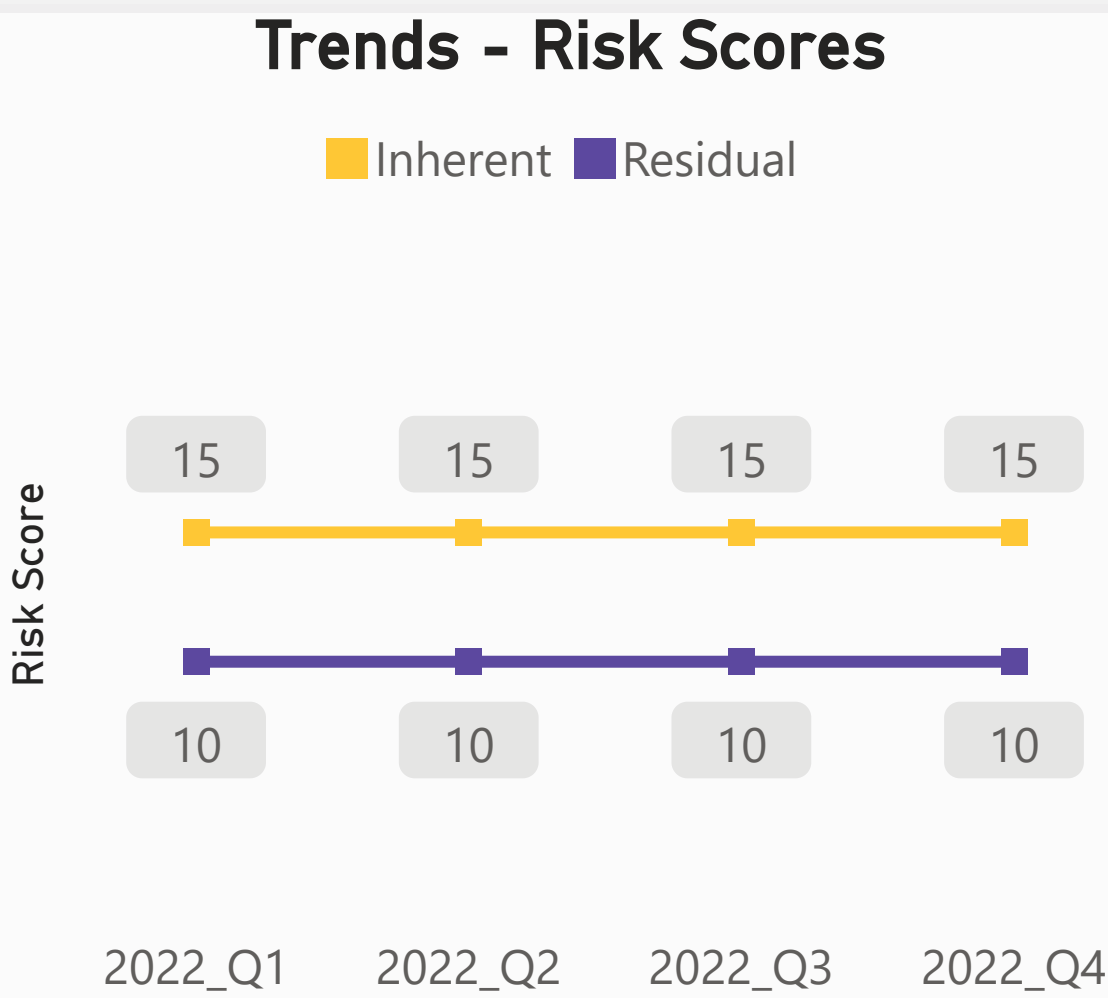
Current Score

Cause

Inadequate risk assessment and management, lack of or poor safeguarding response, failure to provide adequate health and safety 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  
Young people experience serious harm and negative long term impacts



Risk Scoring

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

Background information

Safeguarding vulnerable adults and children and supporting adults and children who have been subject to the neglect or abuse or explotation

Existing mitigations

Adult Social Care and Health

- All Directorate staff and relevant other officers receive mandatory training to assess safeguarding risks. Staff and Managers have regular refresher training which is monitored by the Department Workforce Lead. Ongoing
- Staff receive 1-1 supervision from their managers where safeguarding is discussed and practice support is available. Ongoing support is provided through the Quality & Safeguarding Team Ongoing
- Open safeguarding episodes are reviewed and reported weekly, managers in the teams have oversight and support from senior managers and the Principle Social Worker. Ongoing
- RBC follows the local policies and procedures, as set out by West Berkshire Safeguarding Adults Board (SAB) who provide scrutiny Ongoing
- All referrals received are screened, risks assessed and prioritised decisions made. Additional resources have been brought into the team to manage the increased demand which is being monitored Ongoing
- Health and Safety measures are in place across the Directorate of Adult Care & Health Services (DACHS). Ongoing

Brighter Futures For Children

- Risks relating to children's services are managed by Brighter Futures for Children, who have their own risk management arrangements.
- An extra familial risk / contextual safeguarding pathway for adolescents have 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. Ongoing
- Through the leadership of Community Safety and Brighter Futures for Children (BFfC), continue to deliver partnership actions with Thames Valley Police (TVP), 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. Ongoing
- 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 Ongoing
- Corporate Violence Group and partnership working in place Ongoing
- Risks relating to children's services are managed by Brighter Futures for Children (BFfC), who have their own risk management arrangements. Ongoing

Corporate Parenting

- Chief Executive and Director Children Services - led work with the Local Government Association to instigate learning and development regarding the Corporate Parenting duties Ongoing
- Mapping across all departments in the Autumn will benchmark all current work supporting Children Looked After and Care Leavers
- Working with Local Government Association Ongoing

Specific Actions Required

Title	Date for completion	Status
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⬅ Go back





Risk:

Information Governance - Failure to protect personal data

Register:  
Strategic

Risk owner:  
Graham, Michael

8

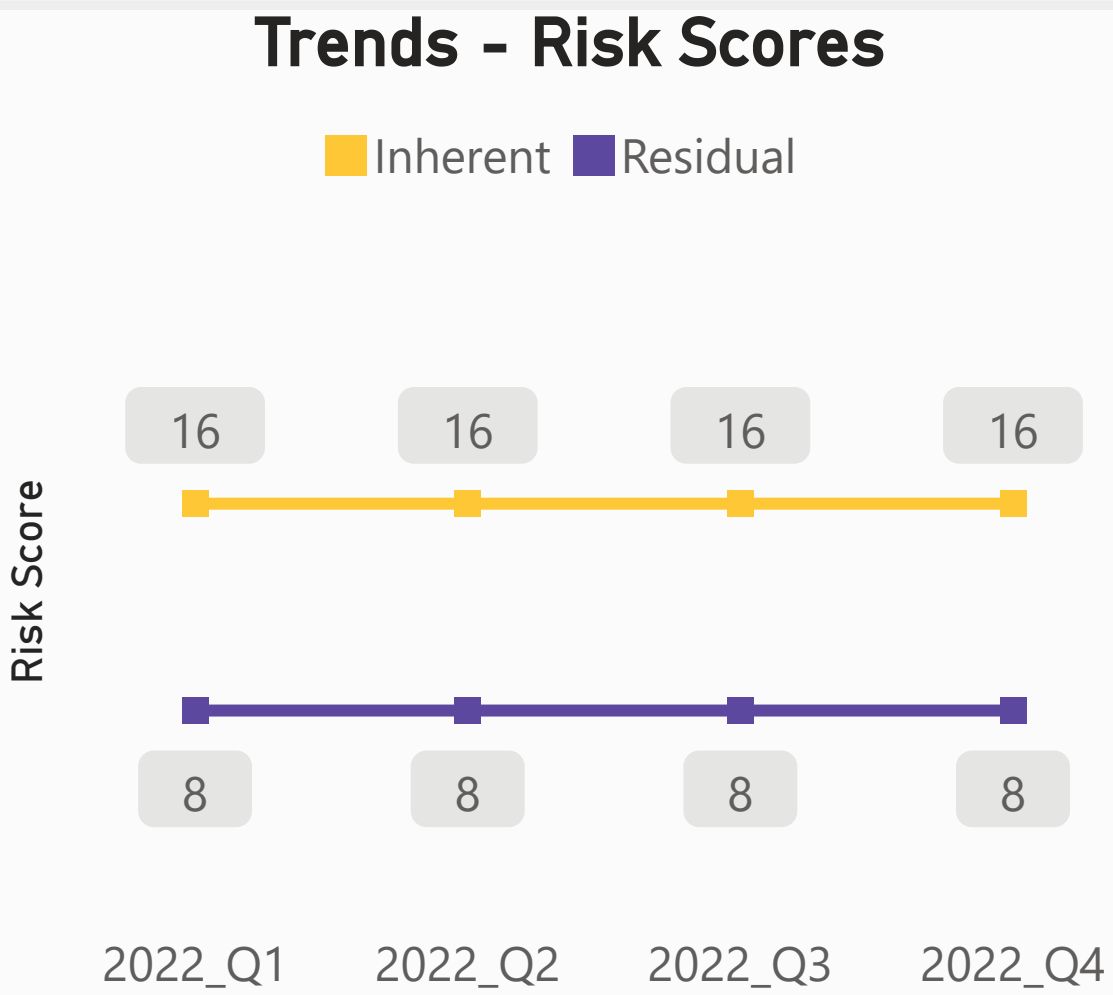
Current Score

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	2022 Q1	2022 Q2	2022 Q3	2022 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

Background information

Information governance is an important issue for the council as information is a corporate resource and is essential for the delivery of services to residents. The Council has duties to manage information properly, under the General Data Protection Regulation. In addition, in order to make best use of the information, it should be organised in a way that allows Services to derive maximum benefit from it.

Existing mitigations

- Information Governance Board (IGB) set up to oversee delivery of Information Management Strategy and compliance. **Complete**
- Information Management Strategy agreed at Policy Committee on 7 March 2022. **Complete**
- 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.**
- Cascade of compliance requirements now through the Information Governance Champions Network (IGCN). This is being rolled out from Autumn 2022. **Ongoing**
- Subject Access Request policy and Breach Management policy reviewed by Information Governance Board. 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 through Information Governance Champions Network (IGCN). **Ongoing**
- Information Sharing Protocols have been centralised and will be reviewed by Information Governance Champions Network. **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 Information Governance Champions Network 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 Data Protection Officer and will help to identify Information Asset Owners within Services. **In progress**

Specific Actions Required

Title	Date for completion	Status
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Risk:

Staffing - Failure to retain and recruit staff

Register:  
Strategic

Risk owner:  
Kaine, Teresa

12

Current Score

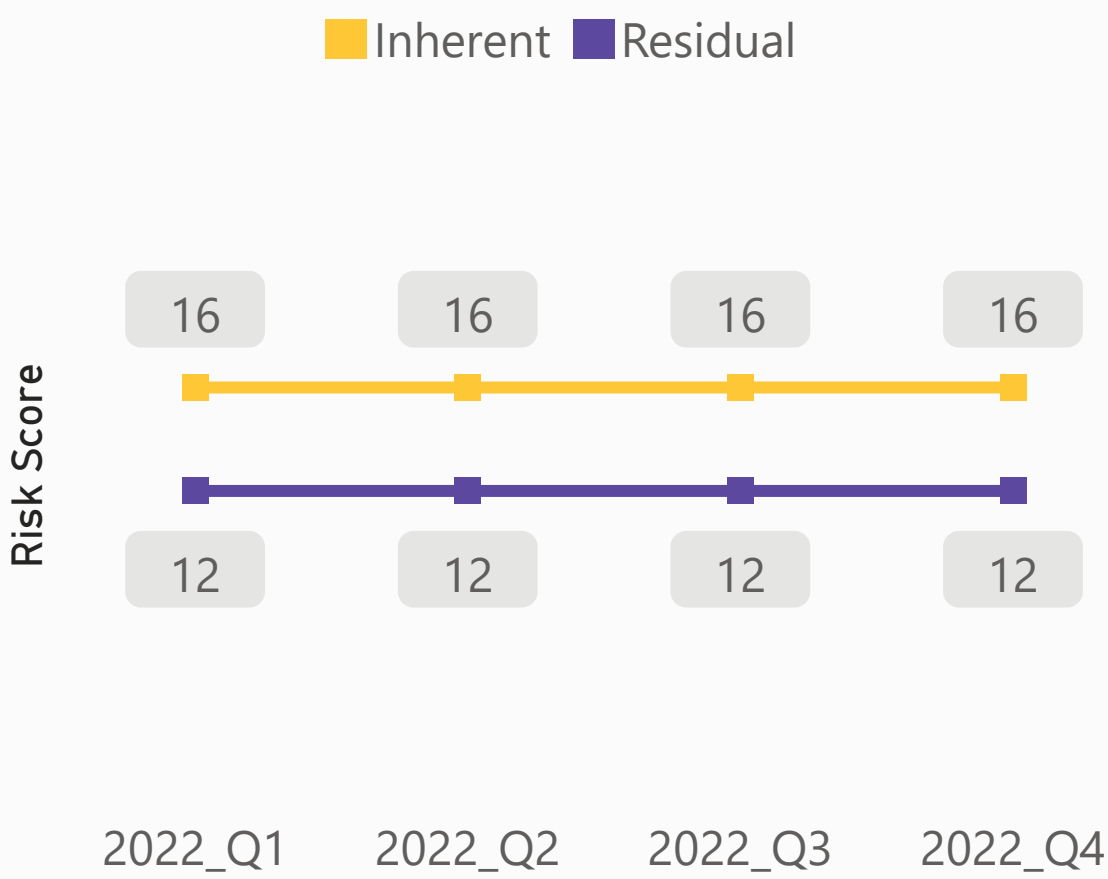
Cause

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.

Trends - Risk Scores



Risk Scoring

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

Background information

There is an on-going shortage of skilled staff (e.g. Social Workers, Occupational Therapists, local government lawyers and financial professionals) and therefore recruitment in these areas is difficult. We compare our data with other local authorities and national recruitment statistics.

Existing mitigations

Reading Borough Council

- Access to pool of appropriately qualified temporary staff via agency contract **Completed**. Contract has been re-procured from February 2021, for a period of 4 years, 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 Corporate Management Team (CMT) sponsor **In progress**.
- 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 to an average of 58 days (January 2023). Success rate of recruitment is currently 80% (January 2023). Whilst fill rates are high for most jobs, there are a small number of jobs where considerable challenges recruiting have been experienced. These difficulties are experienced on a national level by most local authorities and include jobs such as experienced solicitors and senior finance staff. Efforts continue to position these posts in the most attractive light to attract quality candidates.
- 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. We will continue to 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 **In progress**.
- Pulse surveys will take place in 2023 to track progress
- Leadership Development Programme underway to ensure managers deliver high quality, inspiring leadership and role model the Team Reading Leadership Behaviours. **In progress**.
- 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. Employee Assistance Programme, benefits platform and discounts with retailers and gym memberships, lease cars scheme, pensions etc). **In progress**.
- Quarterly reporting of Human Resources performance metrics to Corporate Management Team (CMT) and monthly to Directorate Management Teams (DMT's), to identify areas of good practice that can be shared, and areas that require improvement so that these can be addressed. **In progress**.

Go back

Brighter Futures for Children

- A number of mitigations are in place to stabilise the high turnover of social workers and to convert agency staff to permanent hires within the Together for Families Team. This includes improving recruitment of qualified social workers through a ‘grow your own’ programme; and improving retention through providing targeted support, bespoke training for managers, introducing career pathways, and addressing concerns highlighted from exit interviews such as high caseloads etc. **Ongoing**
- The Human Resources Task & Finish Group has led this targeted intervention (from July 2022) and data shows that all vacancies are now filled with either permanent or agency hires and the high turnover of social workers has ceased.
- A recruitment and retention proposal is currently underway to convert the high number of agency into permanent hires. **Ongoing**

Specific Actions Required

	Title	Date for completion	Status
1	Team Reading Programme governance in place through monthly boards with CMT sponsor	31/03/2024	In progress
2	Resourcing team established to ensure proactive approach and sucess of permanent and all other types of recruitment.	31/03/2024	In progress
3	Pulse survey will take place in 2023 to track progrss of four priority areas for improvement	31/03/2024	In progress
4	Leadership Development Programme underway to ensure managers deliver high quality leadership	31/03/2024	In progress
5	Quarterly reporting of Human Resources performance metrics to CMT and monthly to DMT's	31/03/2024	In progress





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

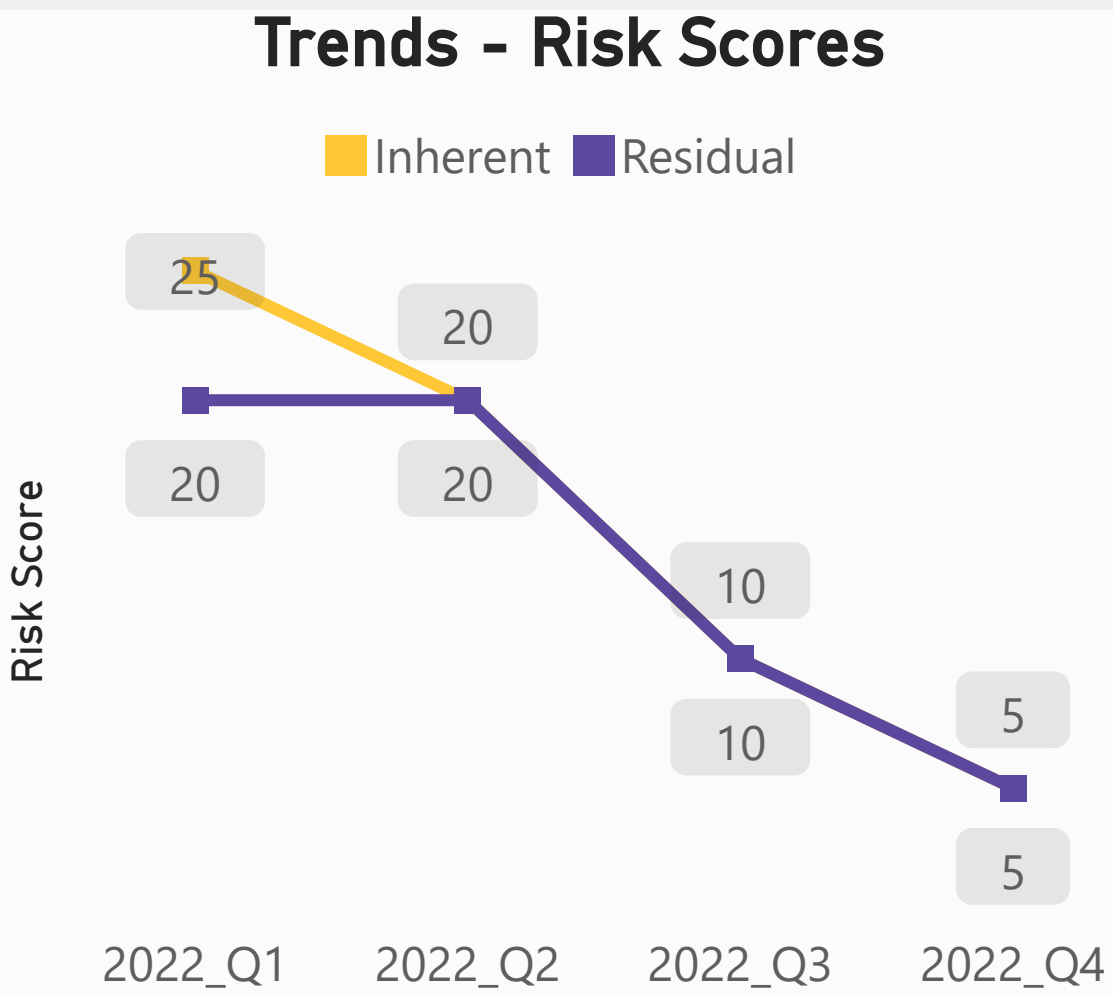
Register: Strategic  
Risk owner: Carter, Darren

5

Current Score

**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	2022 Q1	2022 Q2	2022 Q3	2022 Q4
▲				
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	4	2	1
Inherent	25	20	10	5
Impact (Residual)	5	5	5	5
Likelihood (Residual)	4	4	2	1
Residual	20	20	10	5

Background information

The list of savings required to be delivered for 2022/2023 were agreed as part of the budget setting process. Monitoring of savings delivery is carried out on a monthly basis and reported via the 'Savings Tracker' and 'Performance and Monitoring Report'. Savings are reviewed annually as part of the budget setting process.

Existing mitigations

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

- The Council set a balanced budget for 2022/2023 at its council meeting in February 2022 and current predictions are that the Council will deliver services for 2022/2023 within the approved budget. **In progress**
- Detailed planning for the 2023/2024 budget is underway. **Complete**
- The Medium Term Financial Strategy (MTFS) 2023/24-2025/26 approved by Council in February 2023 shows a forecast budget surplus of £2.8m for 2024/2025, and a budget deficit of £5.7m in 2025/2026.
- Monthly budget monitoring updates are provided to Corporate Management Team (CMT) and Leadership. **In progress**
- New savings and efficiency initiatives are developed and monitored through the Transformation & Efficiency Board. **In progress**
- A review of reserves will be undertaken by the Director of Finance in January 2023 to ensure that they remain adequate. **Complete**
- Negotiation of robust and competitive energy supply contracts via the procurement process (available evidence suggests current contract is performing well, an 'switching' would be ill-advised at this point in any case) **Not started**
- Implementation of the forward buying strategy within the Council's energy contract. **Not started**
- Settlement from Government now received.

⬅ Go back

Specific Actions Required

Title	Date for completion	Status
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