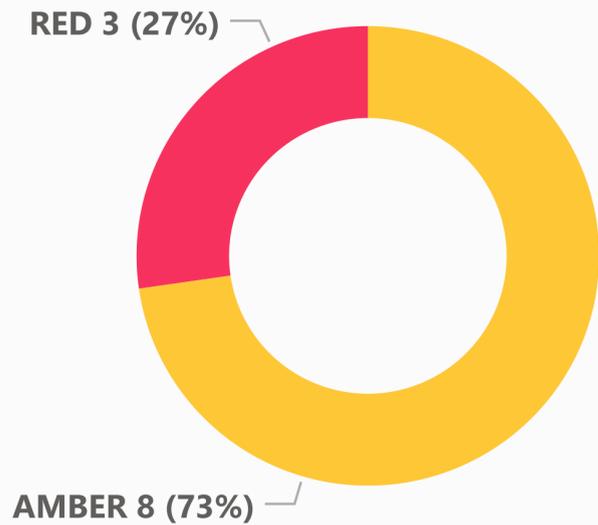
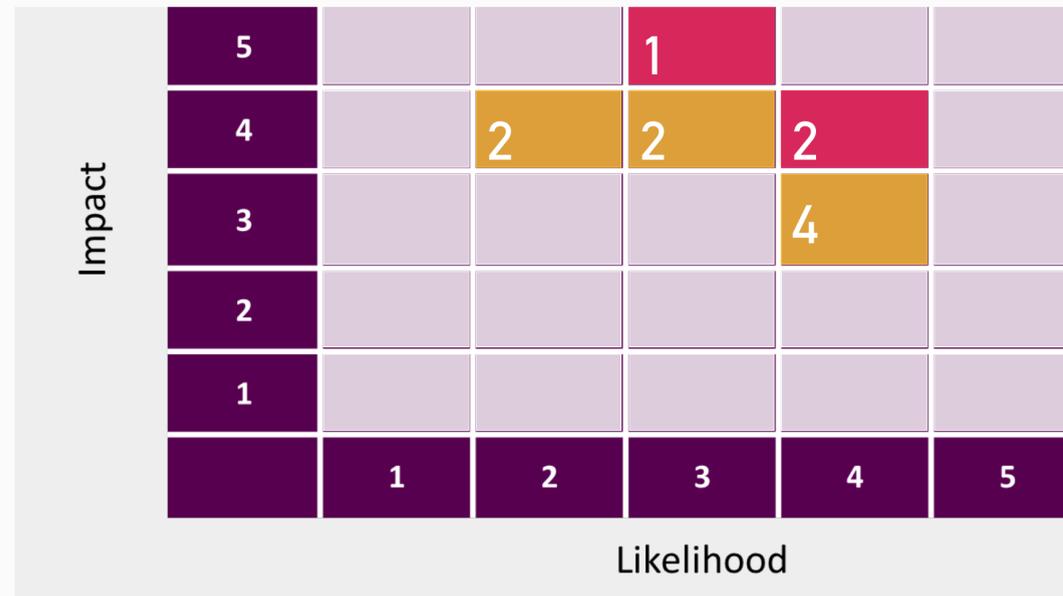


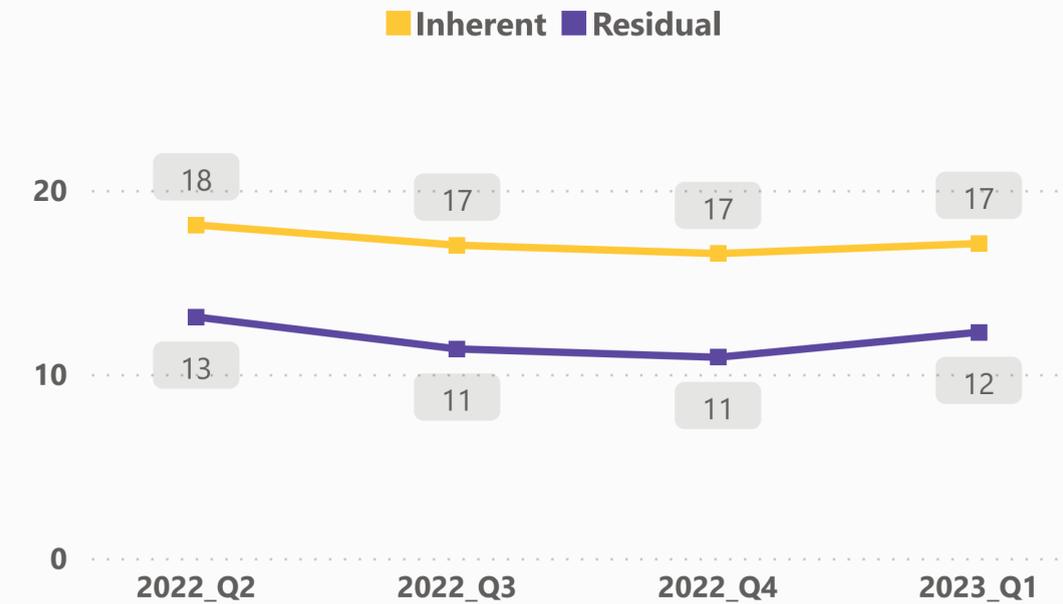
Count of Risk by Status



Risk Distribution



Rolling 4 Quarter Risk Score by Type



Risk	2022_Q2 Residual	2022_Q3 Residual	2022_Q4 Residual	2023_Q1 Residual	Current RAG
Strategic Risk: BfFC - Lack of local special educational needs and disabilities (SEND) placement provision to meet current and future levels of demand	0	16	16	16	Red
Strategic Risk: Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.	8	8	8	8	Amber
Strategic Risk: Cyber - Risk of loss from cyber attack	20	16	16	16	Red
Strategic Risk: Failure to adapt to the impacts of climate change	12	12	12	12	Amber
Strategic Risk: Failure to deliver zero carbon commitments	20	12	12	12	Amber
Strategic Risk: Failure to implement the social inclusion agenda within the Borough	12	12	12	12	Amber
Strategic Risk: Failure to respond to a major incident health hazard or manage a significant outbreak of communicable disease	9	9	9	12	Amber
Strategic Risk: Failure to safeguard vulnerable adults and children	10	10	10	15	Red
Strategic Risk: Information Governance - Failure to protect personal data	8	8	8	8	Amber
Strategic Risk: Staffing - Failure to retain and recruit staff	12	12	12	12	Amber
Strategic Risk: Unable to achieve the budget savings, manage costs, as a result of cost of living increases and achieving income targets.	20	10	5	12	Amber



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

Register: BfFC

Risk owner: Patel, Lara

16
Current Score
(Blank)

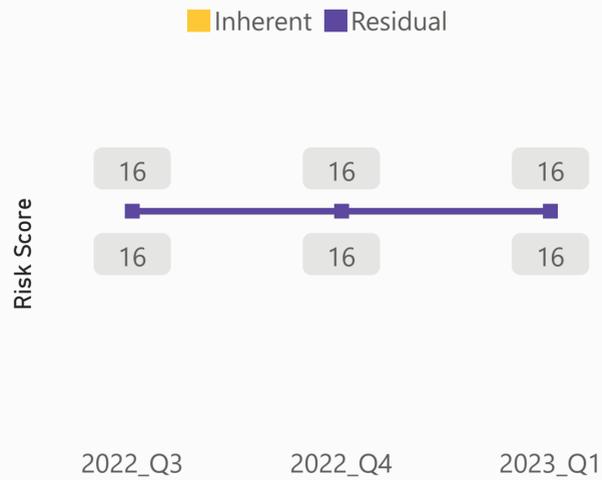
Cause

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.

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)		4	4	4
Likelihood (Inherent)		4	4	4
Inherent	0	16	16	16
Impact (Residual)		4	4	4
Likelihood (Residual)		4	4	4
Residual	0	16	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.**

Go back

Specific Actions Required

	Title	Date for completion	Status
2	Review Early Years funding to prevent the requirement for an EHCP	31/08/2023	In progress
4	Increase number of specialist school places for children with SEND	31/08/2024	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
5	Continue to improve transition to adulthood planning for children with SEND by closer working with Adult Social Care	31/08/2023	In progress
1	Complete Delivering Better Value work to agree priorities for investment and action	31/05/2023	In progress

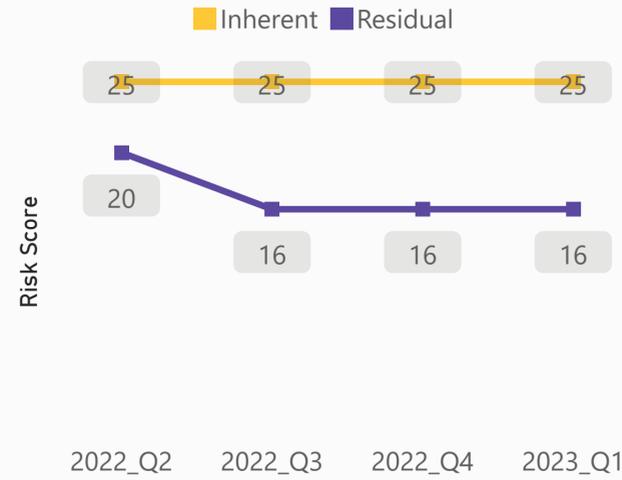
Cause

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 actions being 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 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	5	4	4	4
Likelihood (Residual)	4	4	4	4
Residual	20	16	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 2023-24 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 new 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 and take 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)**
- Implementation of improved defences against attack from Internet via email and internet - **Complete**



An internal audit report has raised observations on training take up, current security remediation plans and active threat monitoring. Actions 2 and 5 below are part of our response to this.

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 Conduct independent assessment of security improvement plans and threat monitoring	27/07/2023	In progress
3 Achieve Cyber Essentials Plus certification	29/09/2023	In progress
4 Conduct cyber resilience rehearsal	29/09/2023	Not started
5 Agree and implement policy and approach to enforcing mandatory training	27/07/2023	In progress



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

Register:
DOR

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 Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
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 Reading Borough Council 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**

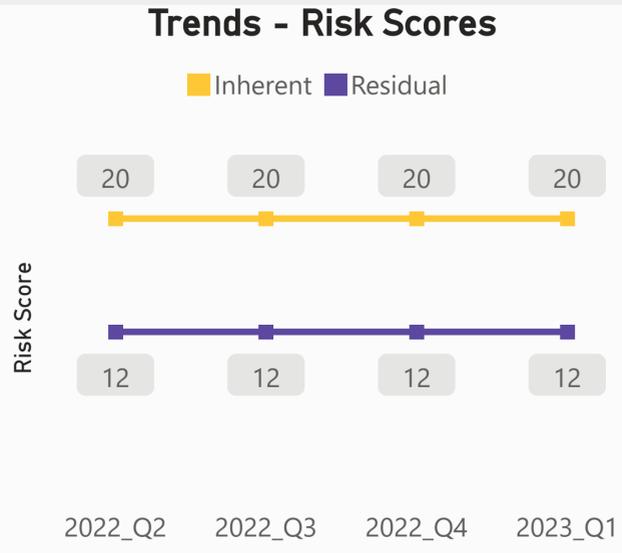
Go back

Specific Actions Required

	Title	Date for completion	Status
1	Reading Trasnport Limited: Seeking to ensure greater consistency of Council / Company oversight through review of respective Company Articles and governance.	27/07/2023	In progress
2	The Council has commissioned an independent review of the business model for Homes for Reading Ltd in light of possible changes to the local government borrowing regime.	29/07/2023	In progress

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 Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
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 has been audited and room for improvement identified. **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 starting this year 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**



Specific Actions Required

Title	Date for completion	Status

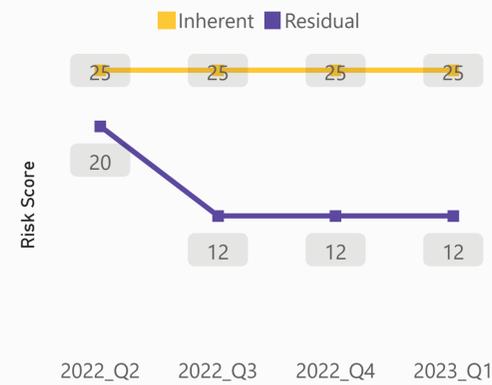
Cause

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 catastrophic impacts which will arise in the long-term from unmitigated climate change (see also 'Failure to adapt to climate' risk card).

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	5	3	3	3
Likelihood (Residual)	4	4	4	4
Residual	20	12	12	12

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



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 - latest Annual Reports published November 2022**
- 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 completed Q4 2022-23 and remedial action underway**

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 deliver 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 was 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 was 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 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. A more comprehensive 'Carbon Literacy' training offer for members and managers is underway to be rolled out in 2023. **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:

Strategic Risk: Failure to implement the social inclusion agenda within the Borough

Register:
DOR

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.

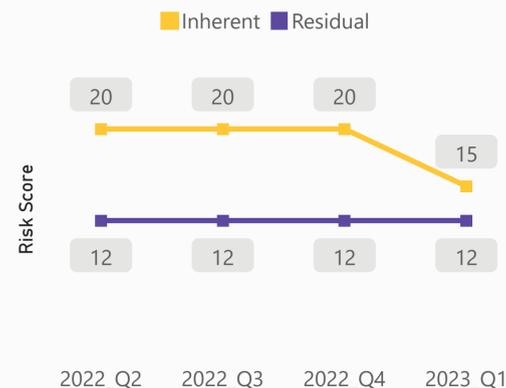
Potential Impact

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.

Trends - Risk Scores



Risk Scoring

Risk Type	Risk Scoring			
	2022 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	4	4	4	3
Inherent	20	20	20	15
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. The Tackling Inequality Strategy details how the Council will support and work with residents to achieve a more self-sustainable future built on improving education, skills and employment opportunities. A key element of the strategy are the two Place-Based Pilots within the Church and Whitley wards. [Go back](#)

Existing mitigations

- Place-Based Pilots - delivery meetings and local engagement - **In progress**
- Community Project Officer Recruitment - **In progress**
- Update provided to Social Inclusion Board **Complete**
- 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 January 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 of priority workstreams. The Reading Integration Board (RIB) provides the oversight for the delivery against the Health & Wellbeing Strategy. **Ongoing**
- Housing Strategy – Community Development Team (CDT) 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**

Specific Actions Required

Title	Date for completion	Status
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Risk:

Strategic Risk: Failure to respond to a major incident health hazard or manage a significant outbreak of communicable disease

Register:
DACHS

Risk owner:
White, Martin

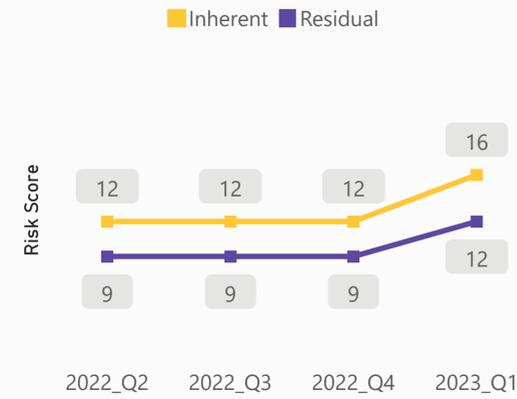
12

Current Score

Cause
Lack of public health protection specialist staff capacity to respond and manage the situation

Potential Impact
Death or injury. Reputational Damage. Insurance claims. Legal challenges

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)	4	4	4	4
Likelihood (Inherent)	3	3	3	4
Inherent	12	12	12	16
Impact (Residual)	3	3	3	4
Likelihood (Residual)	3	3	3	3
Residual	9	9	9	12

Background information

Local authorities statutory responsibilities for 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 has been 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 Public Health Team currently has no oversight of emergency planning in terms of joined up working on preparedness, response, and recovery of major incidents.

Section 30 of the 2012 Act 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. Currently there is an Interim Director of Public Health in post across Berkshire West Local Authorities pending an LGA review of the structure.

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 - **In progress**
- 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 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**
- 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 **Not started**,
- Recruiting to an interim post for a Consultant in Public Health (Health Protection) in the Berkshire West Team. 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 **Started.(JP)**
 - In partnership with Public Health colleagues in Wokingham and West Berkshire, we have re-established the Berkshire West Health Protection Board, which meets regularly to monitor the risks. **Ongoing**
- Establish a robust structure for dealing with Health Protection, from preparedness through response to recovery. 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.- **In progress.**
- Create a Health Protection Board to focus on all Infectious diseases, mandatory requirement under the Health & Social Care Act 2012. 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 by October 2023 - **In progress.**
- Staffing capacity - there is a need for additional staffing support - health protection specialist required. 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. **In progress**
- Closer alignment of health protection to emergency planning. These disciplines sit closely together in an incident, and the need to ensure the public health aspects are considered. - **In progress.**
- Thames Valley Local Resilience Forum is being supported by a Consultant colleague from Wokingham. Currently the Public Health representatives sit on the Local Resilience Forum executive and co-chair 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. **Not started**

Specific Actions Required

	Title	Date for completion	Status
3	Appointment of a Director of Public Health with strategic oversight of health protection and emergency planning functions	31/01/2024	Not started
1	Recruitment of Consultant in Public Health (Health Protection) to lead actions outlined above	30/07/2023	In progress
2	Recruitment of Public Health Specialist (Health Protection) to deliver against actions outlined above	30/07/2023	In progress



Risk: Strategic Risk: Failure to safeguard vulnerable adults and children

Register:
DACHS

Risk owner:
Ross, Susan

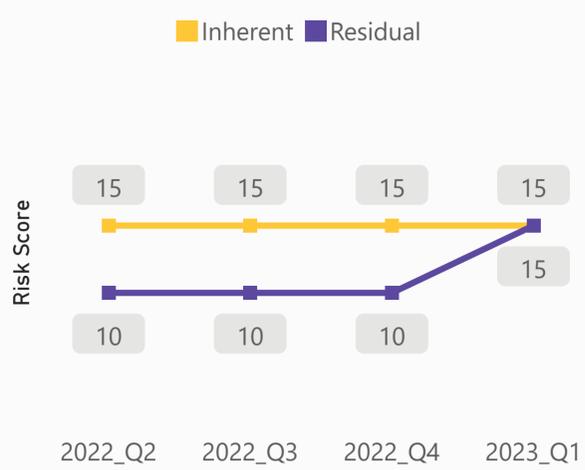
15

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

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
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	3
Residual	10	10	10	15

Background information

Key aim is to safeguard vulnerable adults and children and supporting adults and children who have been subject to the neglect or abuse or exploitation.

Adult context:

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
- All learning from Safeguarding Adult Reviews (SAR) is used to improve practice across ASC and multi-agency partners.

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 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

[⏪ Go back](#)

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
1	Adults: Establish and recruit to a Safeguarding Lead role acting at a Senior Level	29/09/2023	In progress
2	Adults: Develop a Safeguarding Improvement Plan to address backlog of cases and improve quality	30/07/2023	In progress
3	Adults: Move the Safeguarding function to the Advice & Wellbeing Hub to streamline the customer journey	29/09/2023	In progress



Risk:
Strategic Risk: Information Governance - Failure to protect personal data

Register:
 DOR
 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 Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
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. Now underway in the Directorate of Adult Care and Health Services (DACHS) and Brighter Futures for Children (BFfC). **Ongoing**
- Subject Access Request policy and Breach Management policy reviewed by Information Governance Board. Further training to be delivered to staff. **Complete.**
- Privacy Notices are being updated for each service area and made available to service users. This is kept under review in 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 **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
1	Review of Breach Management Policy commissioned in relation to external suppliers of software systems.	27/07/2023	In progress
2	New Information Governance and Cyber Security modules to be rolled out as mandatory training	29/06/2023	In progress

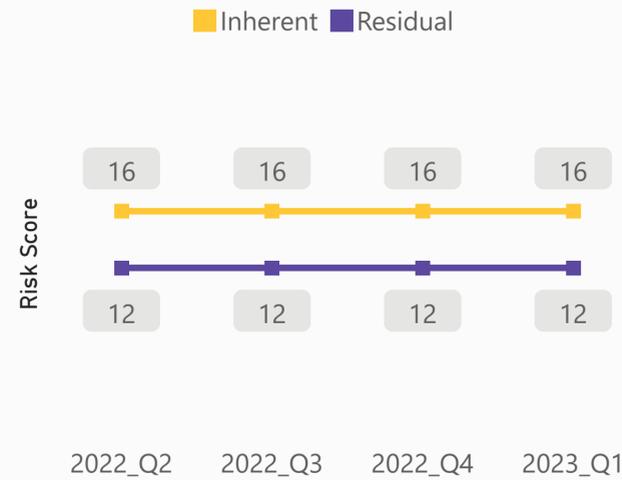
Cause

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 Q2	2022 Q3	2022 Q4	2023 Q1
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 (March 2023). Success rate of recruitment is currently 80% (March 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 social workers. Our results in recent months have been more encouraging with a number of hard to fill roles recruited to, including experienced Solicitors, Social Workers, Senior Planners and roles in our finance team. The Human Resources Team continue to work with services to help improve recruitment and retention, this has included applying market supplements to Social Worker roles and projects to promote roles in our Adult Social Care and Legal Teams.
- 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 **In progress**.
- Pulse surveys will take place in 2023 to track progress **In 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**.



Specific Actions Required

	Title	Date for completion	Status
1	Team Reading Programme governance in place through monthly boards with Corporate Management Team sponsor	31/03/2024	In progress
2	Resourcing team established to ensure proactive approach and success of permanent and all other types of recruitment.	31/03/2024	In progress
3	Pulse survey will take place in 2023 to track progress 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 Corporate Management Team and monthly to Directorate Management Team's	31/03/2024	In progress

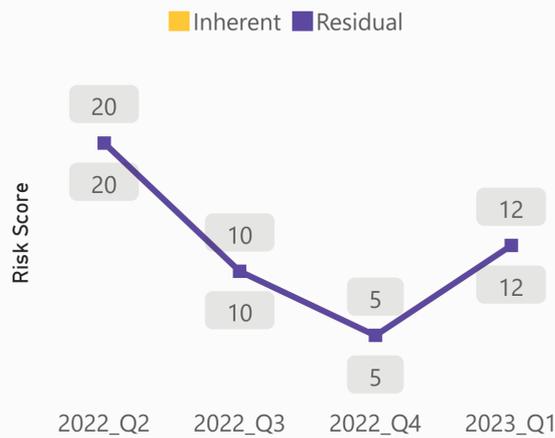
Cause

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.

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q2	2022 Q3	2022 Q4	2023 Q1
Impact (Inherent)	5	5	5	3
Likelihood (Inherent)	4	2	1	4
Inherent	20	10	5	12
Impact (Residual)	5	5	5	3
Likelihood (Residual)	4	2	1	4
Residual	20	10	5	12

Background information

The list of savings required to be delivered for 2023/2024 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 outturn report for 2022/23 will be presented to Policy Committee in July 2023. Although the report identifies an overall net favourable variance, it also identifies service level budget pressures that have not been addressed yet in budget planning.
- The Council set a balanced budget for 2023/24 at its council meeting in February 2023. First quarter monitoring for 2023/24 will be presented to Policy Committee in September 2023. **Not yet started**
- The detailed budget planning for the 2024/25 budget is underway. **In progress**
- 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 was 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, and 'switching' would be ill-advised at this point in any case) **In progress.**
- Implementation of the forward buying strategy within the Council's energy contract. **In progress**
- Settlement from Government received for 2023/24. Limited information available for 2024/25.

 Go back

Specific Actions Required

Title	Date for completion	Status
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