


Strategic Risk Register - Summary

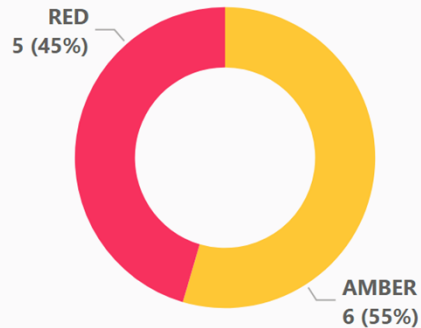
Strategic Risk

- ☐ Select all
☒ Yes
☐ No

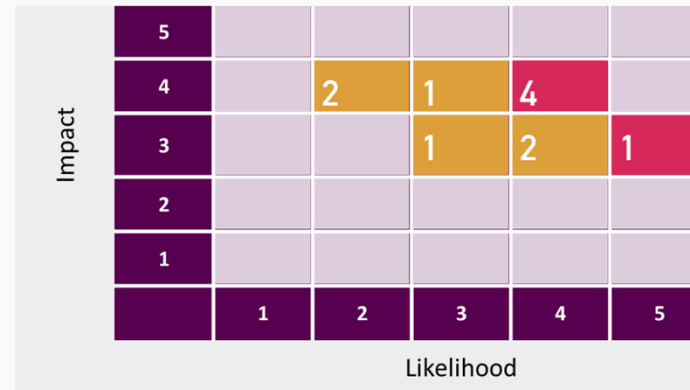
- ☐ BFFC
☐ DACHS
☐ DEGENS
☐ DOR

View detail 

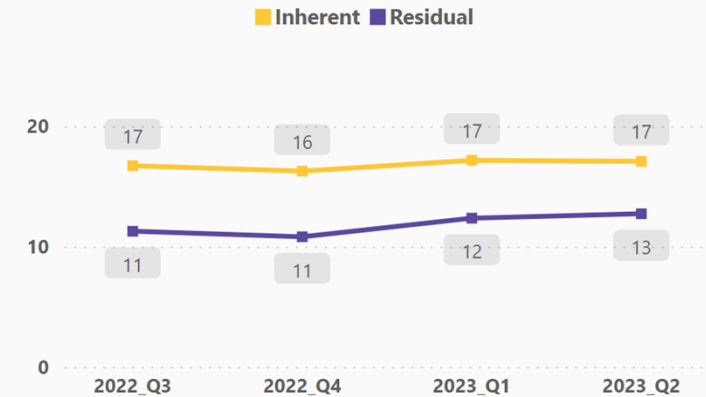
Count of Risk by Status



Risk Distribution



Rolling 4 Quarter Risk Score by Type



Risk	22/23 Q3 Residual	22/23 Q4 Residual	23/24 Q1 Residual	23/24 Q2 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	16	16	16	16	●
Strategic Risk: Companies Risk – That the council fails to have in place appropriate oversight and scrutiny of its companies.	8	8	8	8	●
Strategic Risk: Cyber - Risk of loss from cyber attack	16	16	16	16	●
Strategic Risk: Failure to adapt to the impacts of climate change	12	12	12	12	●
Strategic Risk: Failure to deliver zero carbon commitments	12	12	12	15	●
Strategic Risk: Failure to implement the Tackling Inequality Strategy within the Borough	12	12	12	12	●
Strategic Risk: Failure to respond to a major incident health hazard or manage a significant outbreak of communicable disease	9	9	12	9	●
Strategic Risk: Failure to safeguard vulnerable adults and children	9	9	16	16	●
Strategic Risk: Information Governance - Failure to protect personal data	8	8	8	8	●
Strategic Risk: Staffing - Failure to retain and recruit staff	12	12	12	12	●
Strategic Risk: Unable to deliver a balanced budget as a result of cost of living increases, demand pressures and achieving income targets.	10	5	12	16	●



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

Register:
DACHS

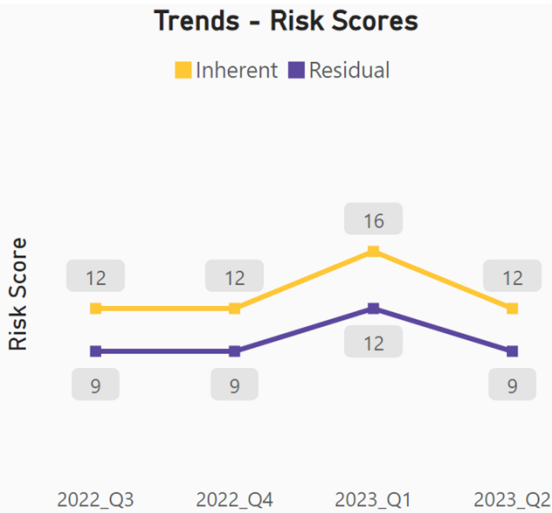
Risk owner:
White, Martin

9

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



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

Specific Actions Required

Title		Date for completion	Status
1	Update the Pandemic Flu Plan and review procedures	29/02/2024	In progress
2	Undertake a flu exercise	29/02/2024	In progress
3	Director of Publish Health Annual Report to be presented to the Corporate Management Team for initial discussion	31/10/2023	In progress
4	Appointment of a Director of Public Health with strategic oversight of health protecion and emergency planning functions. Interim currently in place until April 24	31/03/2024	Not started
5	Mechanism to be put in place for linking Public Health risks identified within the Local Resilience Forum back to the Council to ensure they are addressed. The new Thames Valley LRF Resilience Project will help resolve shortfalls	29/09/2024	Not started

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.

The peak in risk at the beginning of Q1 was due to the lack of Public Health Protection capacity within Berkshire West shared team and Reading team. Now recruited interim posts to both teams, hence risk reduced.

Existing Controls in Place

- 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 place.
- 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. Process is in place. Interim health protection principal (6-month contract) whose workplan includes working with the 'System Partners' to drive the uptake rates. Work ongoing long term.
- Recruited to an interim post for a Consultant in Public Health (Health Protection) in the Berkshire West Team.
 - Recruitment of Public Health Specialist (Health Protection) to deliver against actions outlined. Essential aspects of this are:
- 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. Meets quarterly. I Slade chairs the meeting.
- Establish a robust structure for dealing with Health Protection, from preparedness through response to recovery. A full review of these structures is 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. A proposal on the establishment of a Health Protection & Resilience partnership is being developed, following a review and mapping of existing processes. In place for Berkshire West, shared with Wokingham and West Berkshire.
- 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. 2 interim posts in place. Recruitment complete and post filled.
- 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.
- Closer alignment of health protection to emergency planning has occurred These disciplines sit closely together in an incident, and the need to ensure the public health aspects are considered. This is in place through existing local and regional forums for incidents.
- Flu (resulting in staff absence) is a consideration in all Business Continuity Plans. Work is shared between Business Continuity and Public Health
- Service delivery and risk assessments pertaining to business continuity plans in relation to pandemic flu to form part of the annual health protection exercise across the Council (They sit with Services/Directorate.) The impact of flu is lack of staff which has been considered in Business Continuity Plans.



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

Register:
DACHS

Risk owner:
Ross, Susan

16
Current Score

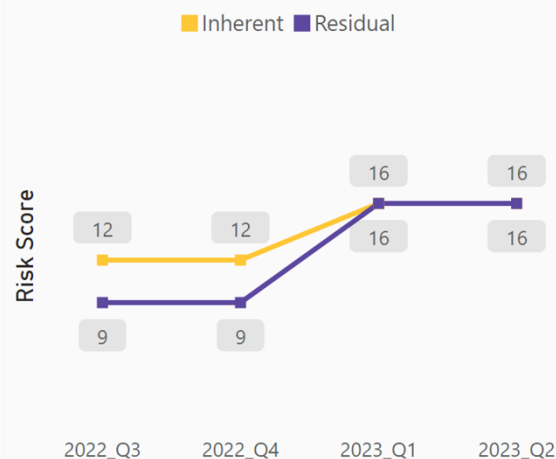
Cause

Significant workforce pressures resulting in 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 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	3	3	4	4
Likelihood (Inherent)	4	4	4	4
Inherent	12	12	16	16
Impact (Residual)	3	3	4	4
Likelihood (Residual)	3	3	4	4
Residual	9	9	16	16

Specific Actions Required

	Title	Date for completion	Status
1	Adults: Establish and recruit to a Safeguarding Lead role acting at a Senior Level. Interim agency in place covering role. Request to fill complete. Advert to be launched Sept 23.	29/09/2023	In progress
2	Adults: Develop a Safeguarding Improvement Plan to address backlog of cases and improve quality. Must be completed by end Oct '23 for Coroner. Parameters identified and plan being developed by Interim Agency worker as above.	31/10/2023	In progress
3	Adults: Move the Safeguarding function to the Advice & Wellbeing Hub to streamline the customer journey. Plan is well advanced, however will be introduced in phased manner once the backlog has been addressed.	16/12/2023	In progress
4	Adults: Council must implement the regulation 28 recommendation letter from the coroner inquest in June 2023 - Ongoing this must be complete by end of Oct 23. Dedicated independent reviewer supporting ASC with work. As at Aug 23 this is reportedly on trac	31/10/2023	In progress
5	BfFC: 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	31/12/2023	In progress

Background Information

All deaths and serious injuries as a result of abuse or neglect are reported to West Berkshire Safeguarding Adult Board (WBSAB) which Reading Borough Council is the lead agency under the requirements of the Care Act 2014. The Safeguarding Review Panel (SAR Review Panel) which is a subcommittee of the Board considers all such cases in order to determine where a Safeguarding Adult Review (SAR) is required and reports its findings to the Board. All agencies represented on the Board have a duty of co-operation under the Care Act to cooperate with any such review and to consider and act on the learning from reviews to improve practice and take mitigating action to ensure such failures to safeguard are reduced and lessons are learnt.

Safeguarding Adults Reviews are published by the Board and reported onto the Quality Care Commission who regulate Adult Social Care Statutory Service whether provided directly by the Council or commissioned from external agencies.

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 (Updated June 2023):

- There have been a number of staff in the Adult safeguarding team that have recently left leaving capacity gaps - additional resources are being secured
- There is a backlog of work which is being actively monitored and risk assessed

Existing Controls in Place

- All Directorate staff and relevant other officers receive mandatory training to assess safeguarding risks. Staff and Managers have regular refresher training. Systems in place
- Staff receive 1-1 supervision from their managers where safeguarding is discussed, and practice support is available. Ongoing support is provided through the Safeguarding Adults Team.
- Open safeguarding episodes are reviewed and reported weekly, managers in the teams have oversight and support from senior managers.
- RBC follows the local policies and procedures, as set out by West Berkshire Safeguarding Adults Board.
- All referrals received are screened, risks assessed, and prioritisation decisions made.
- Health and Safety measures are in place across Directorate of Adult Care and Health Services.
- All learning from Safeguarding Adults Reviews is used to improve practice across Adult Social Care and multi-agency partners. New post responsible for this activity.
- Inspection findings from the Care Quality Commission (CQC) are acted on in services provided directly by the Council or by external Providers where services are commissioned and/or supported. Clear roles and responsibilities in place internally.
- Directorate of Adult Care and Health Services provides safeguarding and Quality oversight of care settings and where Serious Concerns are identified and holds Providers to account for improvements required and quality assures care quality through the contractual relationships which are commissioned.



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

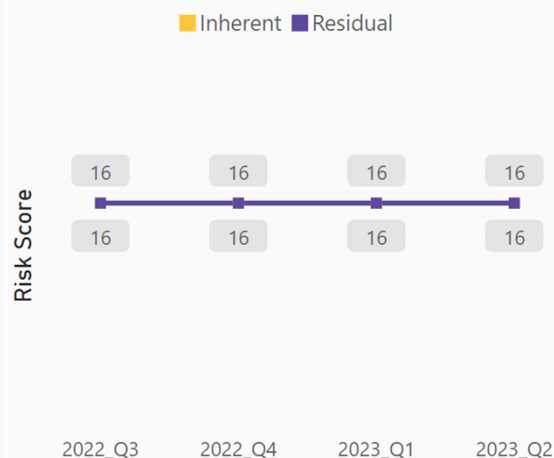
Cause

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 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	4	4	4	4
Likelihood (Inherent)	4	4	4	4
Inherent	16	16	16	16
Impact (Residual)	4	4	4	4
Likelihood (Residual)	4	4	4	4
Residual	16	16	16	16

Specific Actions Required

	Title	Date for completion	Status
1	Recruitment to key Delivering Better Value posts	31/10/2023	In progress
2	Strategic Asset Review to be completed to identify opportunities for special schools.	17/10/2023	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.	29/09/2025	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. SEND Strategy Steering Group	30/01/2024	In progress
6	High needs block deficit management plan to be reviewed and implemented	29/06/2024	In progress
7	Joint partnership steering group for the strategy is overseeing action plan and monitoring progress.	29/06/2027	In progress

Background Information

The Local Authority 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 Reading Borough Council (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, the number of which rose at a higher rate in the last year than previous years.

Existing Controls in Place

- 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. Strategy in place.
- 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.
- 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 place for September 2023. Further places being sought for January 2024, September 2024, and September 2025.
- 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.
- 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 3/3/2023, identifying priority areas which will most improve sufficiency. Phase 2 begins w/c 13/3/2023 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. Phase 2 In place. DfE have indicated approval for £1million bid to develop advisory support to better meet need locally and to reduce demand with final decisions due end September 2023.
- Regular High Needs Block meetings monitor the spend in this area and inform forecasting. In place. Monitoring occurs monthly.
- Complete Delivering Better Value work to agree priorities for investment and action. Bid submitted. In place This is monitored monthly at the SEND Transformation Group and BFFC Executive Directors Board. In place
- Review of Early Years funding to reduce the requirement for an EHCP. This is monitored at the monthly SEND Transformation Group and BFFC Executive Directors Board.



Risk:
Strategic Risk: Cyber - Risk of loss from cyber attack

Register:
DOR

Risk owner:
Chalmers, Martin

16

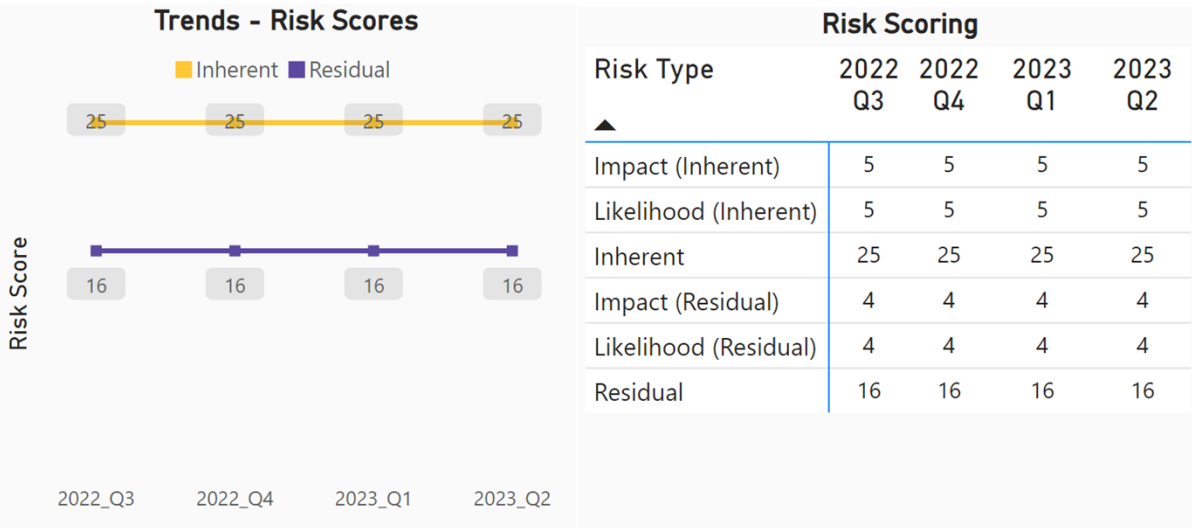
Current Score

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.



Specific Actions Required

	Title	Date for completion	Status
1	Conduct Local Government Cyber Assessment Framework assessment and develop remediation plan	31/12/2023	In progress
2	Conduct independent assessment of security improvement plans and threat monitoring to ensure we have robust plan to achieve Cyber Essentials Plus certification	29/09/2023	In progress
3	Achieve Cyber Essentials Plus certification	29/04/2024	In progress
4	Agree and implement policy and approach to enforcing mandatory training	27/09/2023	In progress

Background Information

The continuing evolution of the threat environment, not least owing to the war in Ukraine, means that the likelihood will remain high, notwithstanding the significant set of actions in place. As evidence of this, in May 2023, we intercepted 2.3m attempted attacks via email (77% of incoming email) and blocked over 5,000 attempts by users to access web links that led to malicious sites.

The high impact of cyber incidents has been demonstrated by incidents such as the Haringey and Redcar & Cleveland ransomware attacks (the latter having been assessed as having had total business impact of £6m).

Existing Controls in Place

Organisational controls

- Security governance provided by Information Governance Board, which reviews 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.
- Staff awareness and training is critical. Training (including annual refresher training) has been made mandatory by both the Council and Brighter Futures for Children (BfC). In place and available to staff.
- Cyber insurance in place (and ongoing purchase)
- Assessment of security strategy and policy to be conducted against new Local Government profile of Cyber Assessment Framework being conducted by DLUCH Future Councils programme (as part of our grant award). In place.

Controls focused on resistance to attack

- Implementation of improved defences against attack from Internet via email and internet
- External certification of cyber countermeasures against Cyber Essentials Plus framework - work to address gaps identified by internal review is in progress, with the most significant actions relating to work (by both IT and business teams) on certain legacy applications. Following an internal audit report that raised questions over remediation plans, we have also commissioned an external review, expected to report in Q2. See specific actions.
- Agreed approach and timing for corporate cyber resilience rehearsal as part of 2023/24 business continuity planning cycle.

Controls focused on recovery from attack

- 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). In place
- Cyber resilience planning and rehearsal - Limited exercise run in Legal & Democratic Services; wider exercise to be planned as part of the 2023/24 business continuity plan refresh. - In place
- Preparedness for cyber-attack to be assessed as part of 2023/24 business continuity plan refresh in Q3 2023/24.



Risk: Strategic Risk: Failure to adapt to the impacts of climate change

Register:
DEGNS

Risk owner:
Gee, Emma

12
Current Score

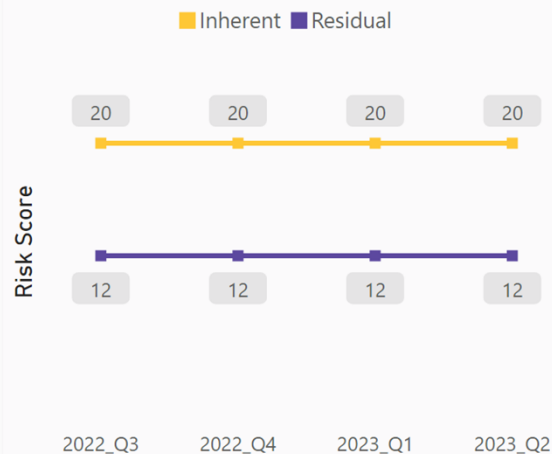
Cause

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.

Trends - Risk Scores



Risk Scoring

Risk Type	2022 Q3	2022 Q4	2023 Q1	2023 Q2
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

Specific Actions Required

	Title	Date for completion	Status
1	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). To be included in Adaptation Plans.	13/08/2024	In progress
2	Ensure the Local Plan review updates adaptation policies if required	31/12/2023	In progress
3	An internal audit process in Feb 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 is underway.	31/03/2024	In progress

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.

Extreme weather events: The Council has a variety of roles as infrastructure owner, service provider, community leader and first responder which may involve it taking some level of responsibility prior/during/after extreme weather events.

Existing Controls in Place

- 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. 5 hotspots in place - Stone Street outstanding. 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. Statutory responsibility: Lead Local Flood Authority is Sam Shean. Responsibility in place. Procedures in place: Emergency Planning Officer will open if major flooding occurs due to extreme rainfall under direction taken from Thames Valley Police Command. A sandbag policy in place.
- Heatwave risk: Various local agencies, including the Council and National Health Service (NHS), participate in the Berkshire Heatwave Plan and England Heatwave Plan. A new 'Heat Health Planning Advice' alert was introduced in 2023 and the Council has played its part in responding to these alerts. Heatwave plans were recently tested in the 2022 heatwaves during which there were a significant number of excess deaths. As the severity and frequency of hot weather events increases, however, more action will be needed to protect vulnerable people and infrastructure.
- Adverse Weather and Health Plan: This new plan was launched by UK Health Security Agency (UKHSA) in 2023 and creates new responsibilities for Local Authorities and others in responding to adverse weather events which may impact on public health. Reading Public Health and Emergency Planning working on this activity.
- Extreme weather events: Service continuity plans are in place to help prepare for such events, but it will be important to ensure that these reflect the changing risk profile associated with climate change and extreme weather.
- Climate impact assessment in decision-making: A protocol for climate impact assessment in Committee reports is now in place and being used by report authors - this includes tests to ensure that decisions are taking account of key climate impacts such as has been audited and room for improvement identified.
- 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. See action below Point 2.
- 3rd National Adaptation Plan (NAP 3): Was published in July 2023 and provides an updated view of the key climate related risks and vulnerabilities facing the UK at national level (<https://www.gov.uk/government/publications/third-national-adaptation-programme-nap3#:~:text=The%20NAP3%20sets%20out%20the,under%20the%20Adaptation%20Reporting%20Power>). It also emphasises the need for Local government to ensure that local services are resilient to local climate impacts. We are expecting further clarification on what is expected by Local Government in terms of Resilience Planning.



Risk:
Strategic Risk: Failure to deliver zero carbon commitments

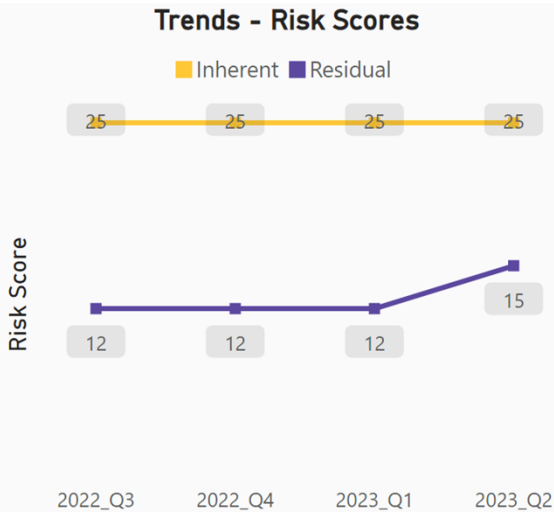
Register:
DEGNS

Risk owner:
Gee, Emma

15
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 catastrophic impacts which will arise in the long-term from unmitigated climate change (see also 'Failure to adapt to climate' risk card).



Risk Type	Risk Scoring			
	2022 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	5	5	5	5
Inherent	25	25	25	25
Impact (Residual)	3	3	3	3
Likelihood (Residual)	4	4	4	5
Residual	12	12	12	15

Specific Actions Required

Title		Date for completion	Status
1	New capital bids required to continue decarbonisation of capital assets. (Buildings and fleet)	29/02/2024	In progress
2	Climate training roll out to priority cohort to occur over next 6 months. In progress	29/02/2024	In progress
3	Develop and implement engagement plan for review of the Climate Strategy with Partners.	31/12/2023	In progress

Background Information

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

Existing Controls in Place

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) In place. Implementation ongoing.
- 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) In place and delivery ongoing.
- 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. In place - 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. In place - 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. In place. However, these capital funds (principally the low carbon capital programme and the fleet replacement programme expire in the next year or two, and further provision will need to be made to manage this risk. (See specific actions)
- 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. Guidance and training in place.

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. Regular engagement with representative bodies who have influence over government i.e., ADEPT Climate Board. In place. Lobbying is an ongoing task.

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 51% since 2005, the 8th 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. Monitoring and reporting on an annual basis is in place.

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. See specific actions.

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. In place - Reading Climate Change Partnership Board January 2023.



Risk:
Strategic Risk: Failure to implement the Tackling Inequality Strategy within the Borough

Register:
DOR

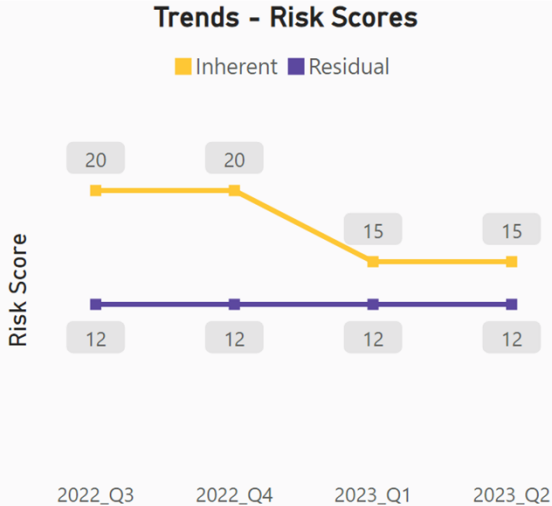
Risk owner:
Yates, Jackie

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.



Risk Type	Risk Scoring			
	2022 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	5	5	5	5
Likelihood (Inherent)	4	4	3	3
Inherent	20	20	15	15
Impact (Residual)	4	4	4	4
Likelihood (Residual)	3	3	3	3
Residual	12	12	12	12

Specific Actions Required

	Title	Date for completion	Status
1	New Education Strategy being drawn up by Brighter Futures for Children reflecting the need to boost aspiration and attainment.	24/12/2023	In progress
2	Refresh Voluntary and Community Sector Action Plan	30/11/2023	Not started
3	Update to Policy Committee on progress of delivering the Tackling Inequality Strategy	17/11/2023	Not started

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. It is not expected that the Government will undertake another Indices of Multiple Deprivation analysis until at least 2024/2025.

Existing Controls in Place

- Place-Based Pilots identified as Church and Whitley ward.
- Project leads for each pilot have been identified - Donna Pentelow and Melissa Wise
- Delivery meetings and local engagement occurring every month. Actions are completed by newly recruited staff.
- 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.
- Community Project Officer posts recruited to (until 2025)
- Presentation to Voluntary and Community Sector (VCS) Assembly February 2023.
- Social Inclusion funding agreed for 2022/23- 2024/25
- Social Inclusion Strategy (now the Tackling Inequality Strategy) and Action Plan went to Policy Committee in January 2023.
- Voluntary and Community Sector strategic action plan agreed (2022/23). In place Work to complete strategy has commenced as at August 2023.
- 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). Board meets six weekly. 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 presented to Policy Committee in October 2022. In place. Actions are picked up by the new posts.
- 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. In place.

Historic Activities (prior to the Tackling Inequalities Strategy)

- New work experience offer designed for schools and more targeted approach to apprentice recruitment to be implemented.
- Refugee Settlement Schemes in place and resourced to support to; Ukrainian, Afghan and Syrian refugees. Procedures in place
- 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.
- 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. In place. Ongoing support provided to residents.
- 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.
- Libraries support children and adults with provision of free resources, including access to information, internet/Wi-Fi, and IT and free activities such as 'Rhymetime' and story time which support the development of children.
- Cultural services, including the museum, are adapting services for adults and children who are neuro diverse. In place
- Reading Museum provides a reminiscence service that can be sent out to care homes and other organisations around Reading. The Museum regularly offers project work to schools in areas of deprivation.



Risk: Strategic Risk: Staffing - Failure to retain and recruit staff

Register:
DOR
Risk owner:
Cook, Kathryn

12
Current Score

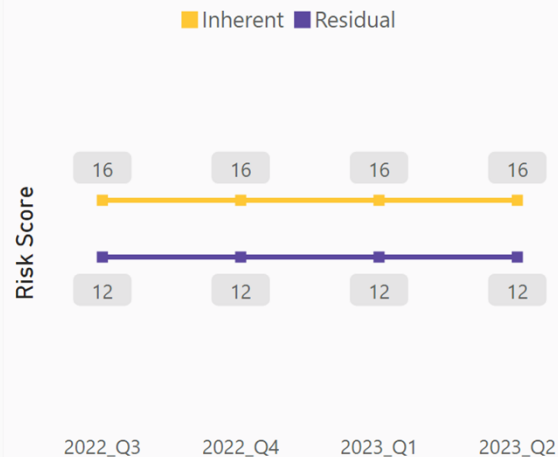
Cause

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 Q3	2022 Q4	2023 Q1	2023 Q2
▲				
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

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 and 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 2023/24 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
6	EDI action plan to be produced following CMT on 12th Sept 23.	28/09/2023	In progress
7	BFFC : A recruitment and retention proposal is currently underway to convert the high number of agency into permanent hires.	31/12/2023	In progress

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 Controls in Place

Reading Borough Council

- Access to pool of appropriately qualified temporary staff via agency contract. 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 place as a governance process.
- Resourcing Team well established to ensure proactive approach and success of permanent and all other types of recruitment. In place. Time to fill (advert to start date) has reduced to an average of 58 days (June 2023). Success rate of recruitment is currently 80% (June 2023). Whilst fill rates are high for most jobs, there are a small number of jobs where considerable challenges recruiting has 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. Next quarterly update will be September 2023.
- Staff Surveys were run in 2021 and 2022 to provide 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. The 2023 staff survey was launched in June 2023 (closing on 14/7/23) – questions asked are identical to previous surveys (to enable tracking of responses over time) and were supplemented with a small number of additional questions to inform our Equality Diversity and Inclusion (EDI) Strategy. Detailed results shared with Corporate Management Team on 12th September 2023.
- Work to build our Equality Diversity and Inclusion Strategy and Plan (which will support both recruitment and retention) is underway including the launch of the first organisation-wide Big Conversation – ensuring a strong employee voice (important aspect of employee retention). A 'Big Conversation' was held with staff and headlines were fed back to staff in August 2023. Detailed actions and the strategy were sent to the Corporate Management Team on 12th September 2023.
- Leadership Development Programme underway to ensure managers deliver high quality, inspiring leadership and role model the Team Reading Leadership Behaviours. Programme has been developed for 2023/24
- 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.
- 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. Local Government Association (LGA) negotiate on RBC behalf. This is a rolling year on year process. Representation in place.
- 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).

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. Processes in place. Task in continual.
- 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. In place



Risk: Strategic Risk: Unable to deliver a balanced budget as a result of cost of living increases, demand pressures and achieving income targets.

Register: DOR
Risk owner: Carter, Darren

16

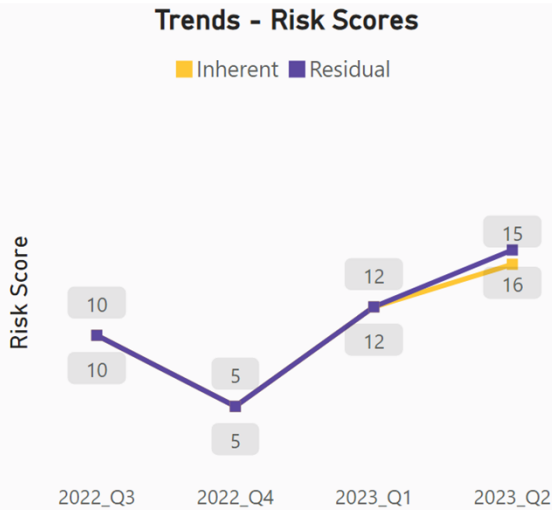
Current Score

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 Type	Risk Scoring			
	2022 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	5	5	3	3
Likelihood (Inherent)	2	1	4	5
Inherent	10	5	12	15
Impact (Residual)	5	5	3	4
Likelihood (Residual)	2	1	4	4
Residual	10	5	12	16

Specific Actions Required

Title		Date for completion	Status
1	The detailed budget planning for the 2024/25 budget is underway. This will be ongoing until February 2024 full Council Meeting.	29/02/2024	In progress
2	A review of reserves will be undertaken by the Director of Finance in January 2024 to ensure that they remain adequate.	31/01/2024	In progress
3	Directorates to work up mitigation plans to reduce the forecast overspend for current financial year.	29/02/2024	In progress

Background Information

The economic climate has changed significantly since Council approved the budget in February 2023. The cost-of-living crisis is generating pay and inflation pressures significantly greater than had been provided for in the budget. We are also seeing significant demand pressures in Children's Social Care as a result of increasing numbers of children in care and increasing complexity of needs. We are also continuing to see pressures on income budgets as they are yet to return to pre COVID levels.

Existing Controls in Place

- Monthly meetings with Corporate Management Team to consider all key financial risks.
- The Q1 performance report submitted to Policy Committee in September 2023 setting out the current forecast for this year (Date of meeting 25.9.23)
- Settlement from Government received for 2023/24. In place Limited information currently available for 2024/25.
- Directorates have been requested to work up mitigation plans to reduce the forecast overspend for the current financial year. Request complete.



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

Register:
DOR

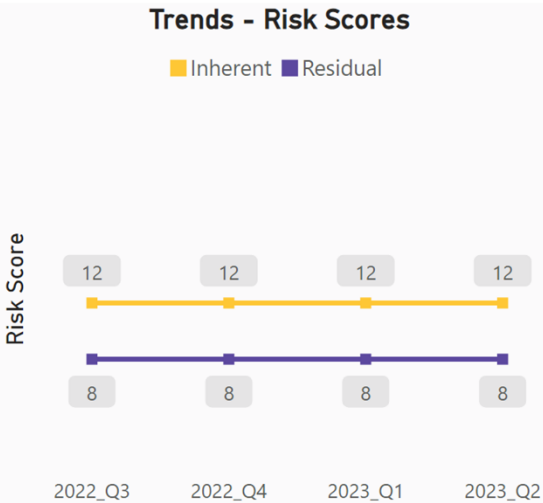
Risk owner:
Graham, Michael

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, loan repayments 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 Q3	2022 Q4	2023 Q1	2023 Q2
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

Specific Actions Required

	Title	Date for completion	Status
1	Reading Transport Limited: Seeking to ensure greater consistency of Council / Company oversight through review of respective Company Articles and governance.	31/10/2023	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.	31/10/2023	In progress
3	Review of Reading Hampshire Property Partnership	31/12/2023	Not started

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 Controls in Place

- 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. In place 2021/22
- Regular Contract Management Group meetings occur 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. Process and meetings in place
- 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).



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

Register:
DOR

Risk owner:
Graham, Michael

8

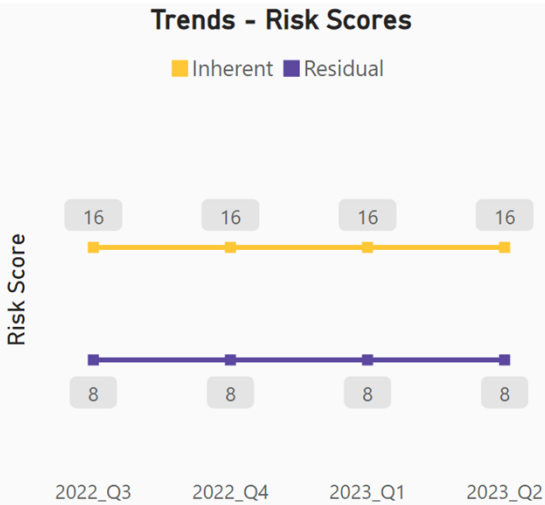
Current Score

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	Risk Scoring			
	2022 Q3	2022 Q4	2023 Q1	2023 Q2
Impact (Inherent)	4	4	4	4
Likelihood (Inherent)	4	4	4	4
Inherent	16	16	16	16
Impact (Residual)	4	4	4	4
Likelihood (Residual)	2	2	2	2
Residual	8	8	8	8

Specific Actions Required

Title		Date for completion	Status
1	Review of Breach Management Policy commissioned in relation to external suppliers of software systems.	31/10/2023	In progress
2	New Information Governance and Cyber Security modules to be rolled out as mandatory training. Uptake to be subject to monitoring	30/11/2023	Complete
3	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	30/05/2024	In progress
4	Information Sharing Protocols to be reviewed by Information Governance Champions Network	29/06/2024	In progress
5	Records of Processing Activities (ROPA) being further developed by Data Protection Officer and will help to identify Information Asset Owners within Services.	31/12/2023	In progress

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 Controls in Place

- Information Governance Board (IGB) set up to oversee delivery of Information Management Strategy and compliance.
- Information Management Strategy agreed at Policy Committee on 7 March 2022.
- 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. In place
- Oversight from the Audit and Governance Committee on a quarterly basis.
- Face to Face Data Protection refresher training is available for staff as and when needed. In place.
- Subject Access Request policy and Breach Management policy reviewed by Information Governance Board. Further training to be delivered to staff.
- 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). Procedures in place
- Information Sharing Protocols have been centralised (In place) and will be reviewed by Information Governance Champions Network (See action point 4).
- The Council now has retention schedules for each directorate. In place. 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.