

**READING BOROUGH COUNCIL
DIRECTOR OF CORPORATE RESOURCES**

TO:	AUDIT & GOVERNANCE COMMITTEE		
DATE:	23 rd Jul 2019		
TITLE:	STRATEGIC RISK REGISTER Q1		
LEAD COUNCILLOR:	COUNCILLOR EMBERSON	PORTFOLIO:	CORPORATE AND CONSUMER SERVICES
SERVICE:	FINANCE	WARDS:	N/A
LEAD OFFICER:	JACKIE YATES	TEL:	9374710
JOB TITLE:	EXECUTIVE DIRECTOR OF RESOURCES	E-MAIL:	jackie.yates@reading.gov.uk

1. PURPOSE OF REPORT

- 1.1 This report outlines the Q1 19/20 update of the Strategic Risk Register.
- 1.2 The Register is presented to the Council's Audit & Governance Committee a minimum of six monthly or quarterly in the case of any risks where the position has worsened or for residual red risks where the Audit & Governance Committee shows a particular interest. It was last presented to the Committee in Jan 2019.
- 1.3 The following documents are appended:
- Appendix 1 - the Council's Corporate (Strategic) Risk Register.

2. RECOMMENDED ACTION

- 2.1 The committee are requested to consider the Council's strategic risks as of June 19 (end of Q1).

3. KEY ISSUES

- 3.1 Risk management is a key part of corporate governance. Good risk management will help identify and deal with key Strategic risks facing the Council in the pursuit of its goals and is a key part of good management, not simply a compliance exercise. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. They consist of an ongoing process designed to identify and address significant risks involved in achieving the Council's outcomes.

- 3.2 The Strategic Risk Register has been developed to provide a concise, focused and high level overview of Strategic risks that can be easily communicated to all staff, councillors and stakeholders (e.g. Council's Insurers). It should, however, always be supplemented by the more detailed directorate/service/project risk registers.
- 3.3 Although guidance is provided in relation to the scoring of risks, with a view to providing as much consistency as possible, it still remains very much a subjective process. The primary aim of the Strategic Risk Register is to identify those key vulnerabilities that CMT consider need to be closely monitored in the forthcoming months and, in some instances, years ahead. In many cases this will be because the risk is relatively new and, whilst being effectively managed, the associated control framework is yet to be fully defined and embedded. In such circumstances it follows that not only will the potential impact be large, but the risk of likelihood of occurrence could also be increased. Furthermore, it is possible that the likelihood can be influenced by events outside of the Council's control e.g. the economic climate and its impact on financial planning, or severe weather etc.
- 3.4 Risk appetite was introduced to our risk register in 2018. This is consistent with the Institute of Risk Management which advises that risk appetite should be identified for each risk. *Risk appetite is the amount of risk that an organisation is willing to seek or accepts in order to meet its long term objectives.*
- 3.5 Given the revised format identifies risk appetite for each individual risk, the previous colour coding of red, amber and green based on a single assessment of risk tolerance would be confusing and hence the analysis of red, amber and green will now be based on the extent of the gap between the current residual risk and the risk appetite.
- 3.6 In order to focus senior management and Member attention on areas of greatest risk, the Register should include only the key current risks that have not been mitigated down to the risk appetite level. Hence it is proposed that where risks have been rated as green for 2 or more consecutive quarters they should be removed from the Register. These can be re-instated should the risk rise again.

4. CONTRIBUTION TO STRATEGIC AIMS

- 4.1 Regular review of the Strategic Risk Register is an integral part of effective risk management arrangements and corporate governance. Identifying risk appetite enables the Council to clarify the extent of risk mitigation required in order to achieve its strategic aims.

5. COMMUNITY ENGAGEMENT AND INFORMATION

- 5.1 N/A

6. LEGAL IMPLICATIONS

6.1 There are no specific legal implications arising from the recommendations in this report"

7. FINANCIAL IMPLICATIONS

7.1 N/A

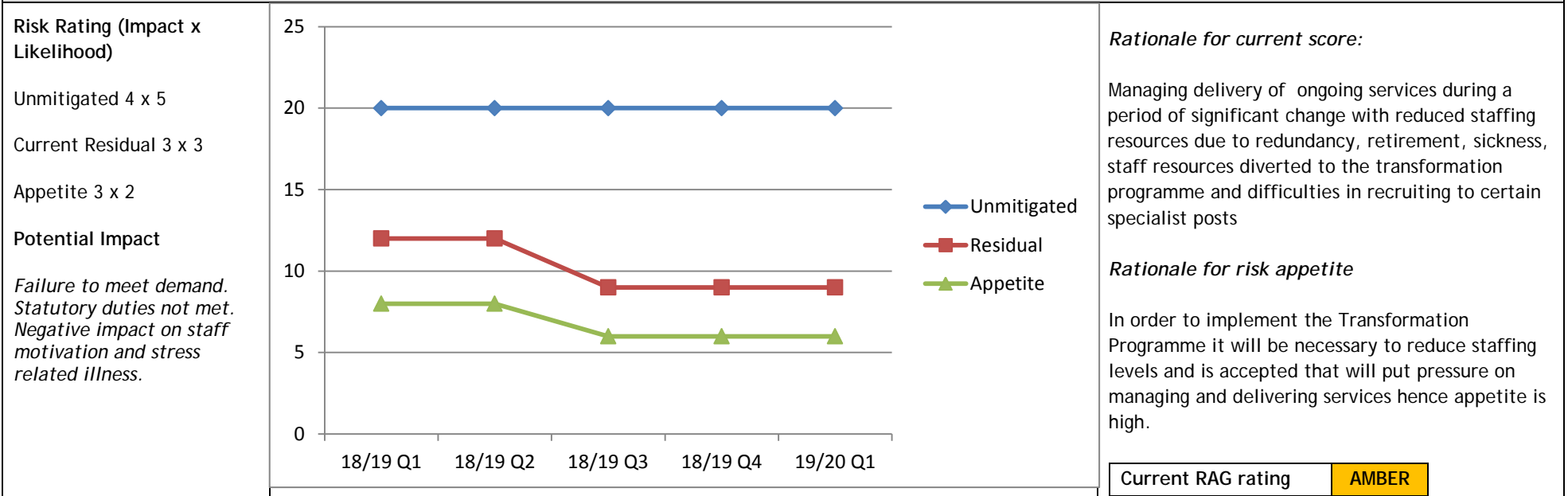
8. BACKGROUND PAPERS

8.1 Appendix 1 - the Council's Corporate (Strategic) Risk Register.

<p>Risk 1: The council does not create and deliver a sustainable Medium Term Financial Plan and/or achieve a balanced budget.</p>		<p>Risk Owner: Head of Finance</p>																										
<p>Corporate Priority: <i>Ensuring the Council is fit for the future</i></p>																												
<p>Risk Rating (Impact x Likelihood)</p> <p>Unmitigated 5 x 5</p> <p>Current Residual 4 x 1</p> <p>Appetite 4 x 1</p> <p>Potential Impact</p> <p><i>Strategic objectives and statutory duties not met. Council unable to set legal budget. Service or services failure</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Period</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>18/19 Q1</td> <td>25</td> <td>16</td> <td>4</td> </tr> <tr> <td>18/19 Q2</td> <td>25</td> <td>16</td> <td>4</td> </tr> <tr> <td>18/19 Q3</td> <td>25</td> <td>12</td> <td>4</td> </tr> <tr> <td>18/19 Q4</td> <td>25</td> <td>4</td> <td>4</td> </tr> <tr> <td>19/20 Q1</td> <td>25</td> <td>4</td> <td>4</td> </tr> </tbody> </table>		Period	Unmitigated	Residual	Appetite	18/19 Q1	25	16	4	18/19 Q2	25	16	4	18/19 Q3	25	12	4	18/19 Q4	25	4	4	19/20 Q1	25	4	4	<p>Rationale for current score:</p> <p>The £40m of savings over 3 years will require robust management to deliver. Particularly there is a need to take early and robust action on longer term initiatives to ensure that the Council remains a going concern. The General Balances will need to be improved and a reserve is created to manage future years' volatility.</p> <p>Rationale for risk appetite</p> <p>Achieving a sustainable financial position is essential in order to be a going concern and deliver priorities. Careful planning is essential and the risk appetite is low.</p>	
	Period	Unmitigated	Residual	Appetite																								
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		<p>Current RAG rating GREEN</p>																										
<p>Current Actions (What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual)</p> <ul style="list-style-type: none"> • MTFS for the period 2019-2022 has been approved by Council • Members have agreed a 3 year balanced budget • Robust monitoring arrangements are in place re delivery of savings and tracking of budget pressures • Significant savings are being managed by 8 Corporate Programme Boards each with a CMT sponsor • Delivery Fund allocations have been aligned with Programme Boards on gateways to access funding which are managed via the Board structure. Spend is agreed where appropriate • A risk fund against established difficult to meet savings • Planning for the annual refresh of the MTFP in place. • CMT has commissioned a hard review of budget monitoring at the end of the first quarter of the year. • Programme of Fundamental Service Reviews are about to be implemented to identify further opportunities for 'savings'. 		<p>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</p> <table border="1"> <thead> <tr> <th>Further Mitigation</th> <th>Officer (s) responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>The MTFS takes account of actual and emerging pressures with an appropriate contingency. Robust monitoring and early delivery of savings is now required to give confidence that the MTFS is deliverable.</td> <td>Head of Finance/ CMT</td> <td>Ongoing</td> </tr> <tr> <td>Budget monitoring incorporates the savings delivery plan as a separate report, with mitigation plans to be implemented for those savings at risk (Red/Amber RAG status)</td> <td>CMT</td> <td>Ongoing</td> </tr> <tr> <td>Assistant directors instructed to fully mitigate any unmet savings</td> <td>Assistant Director for Corporate and Customer Services</td> <td>End Jul 19</td> </tr> </tbody> </table>		Further Mitigation	Officer (s) responsible	Target date	The MTFS takes account of actual and emerging pressures with an appropriate contingency. Robust monitoring and early delivery of savings is now required to give confidence that the MTFS is deliverable.	Head of Finance/ CMT	Ongoing	Budget monitoring incorporates the savings delivery plan as a separate report, with mitigation plans to be implemented for those savings at risk (Red/Amber RAG status)	CMT	Ongoing	Assistant directors instructed to fully mitigate any unmet savings	Assistant Director for Corporate and Customer Services	End Jul 19													
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Risk 2: Insufficient or lack of capable staff resources to deliver our services in an effective and efficient manner Risk Owner: Assistant Director of HR & Organisational Development

Corporate Priority: *Ensuring the Council is fit for the future*



Current Actions(What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- HR Business Partnering approach introduced to support and assist managers with effective workforce planning
- Access to pool of appropriately qualified temporary staff via agency contract
- Team Reading Programme set up in October 2018 to support the delivery of the Organisation Development Strategy which aims to achieve a highly skilled and motivated workforce. Programme governance in place through monthly boards reporting progress to CMT.
- Resourcing team established from 1 January 2019 to improve the approach and success of permanent and all other types of recruitment. Time to fill (advert to start date) has reduced from around 100 days to an average of 67 days. Success rate of recruitment has increased from 50% to 75%.
- Staff Survey run in April/May 2019 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. Action Plans will be put in place by 31 July 2019 and progress will be monitored by the Team Reading Programme Board
- Significant drive to fill ADs underway and almost complete Assest and regeneration Commison and quality in ASC proving difficult)

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
Update HR policies and procedures	Assistant Director of HR and OD	December 19
Staff Survey action plans to be developed following release of results in June 2019, so that action can be taken to address any areas of concern and to build on areas where results are positive	Assistant Director of HR and OD	July 19
Reduce agency spend	CMT	Ongoing
Improved HR management information to be made available to managers following roll out of iTrent self service modules. This will enable more effective monitoring of turnover, absence trends etc so that any areas of concern can be identified and acted upon quickly	Assistant Director of HR and OD	March 2020

Risk 3: Information created, accessed, handled, stored, protected and destroyed by the Council and its service areas is not managed in compliance with legislation or local policies. Council services do not fully understand or manage the risks such non-compliance involves therefore not making informed, risk based decisions.

Risk Owners: Head of Legal/ AD for Digital Transformation

Corporate Priority: *Ensuring the Council is fit for the future*

Risk Rating (Impact x Likelihood)

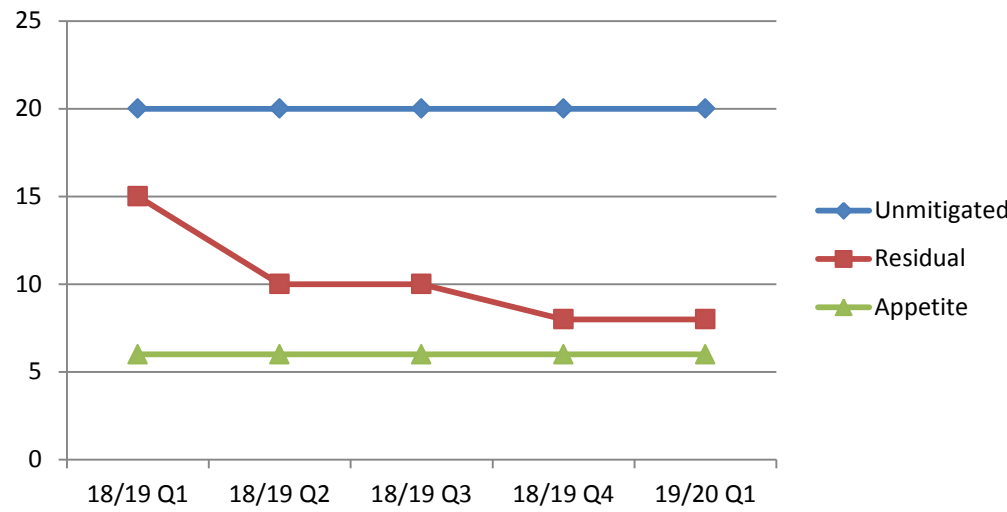
Unmitigated 5 x 4

Current Residual 4 x 2

Appetite 3 x 2

Potential Impact

Fines/penalties, reputation damage, service failure.



Rationale for current score:

The likelihood has reduced slightly following staff awareness training, however fines are increasing, hence potential impact remains high.

Rationale for risk appetite

In addition to the financial risk, financial penalties are now very high, hence the Council will seek to minimise the risk of these being incurred.

Current RAG rating **AMBER**

Current Actions(What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- 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.
- GDPR Project team established and working towards GDPR compliance so as to avoid large penalties and fines.
- Data Protection Officer in place following staff resignation.
- GDPR e-learning module has been rolled out to staff and made mandatory for staff to complete. Face to Face Data Protection refresher training is available for staff as and when needed. GDPR briefing sessions were also held for staff by the GDPR team and each session was fully attended by staff. These sessions outlined the changes in legislation and what was required for compliance.
- Data Protection policy and Breach Management policy completed and on the Information Governance Pod for staff to access. Subject Access Request guide updated also. These will be reviewed annually. Monitoring awareness will be ongoing.
- Privacy Notices have been updated for each service area and made available to service users. This will be under constant review and updated should there be any change as to how personal is processed.
- Teams have completed DPIA's documenting what personal they are processing. These are to be reviewed annually.
- The Council now has retention schedules for each directorate. All

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
Need to test application of training by officers and monitor both the effectiveness and that the right staff handling sensitive data is prioritised.	CMT	Ongoing
GDPR introduces increased fines and data subjects' legal right to compensation. The latter is likely to create a spawn of litigation that will be very costly and labour intensive to manage, plus reputational damage	CMT	Ongoing

<p>retention schedules have been updated and will be reviewed to ensure they are compliant with any future updates. The retention schedules are available to all staff and all directorates are expected to follow them to ensure compliance.</p> <ul style="list-style-type: none">• I Trent rolled out to all staff with expectation of self-serve culture to keep own personal data up to date.	
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Risk 4: The Council does not follow its own governance procedures leading to failure to deliver services and/or value for money and/or it can be challenged through a legal process **Risk Owners:** Assistant Director of Legal/ Director of Resources

Corporate Priority: *Ensuring the Council is fit for the future, Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children, Keeping Reading's environment clean, green and safe. Promoting great education, leisure and cultural opportunities for people in Reading*

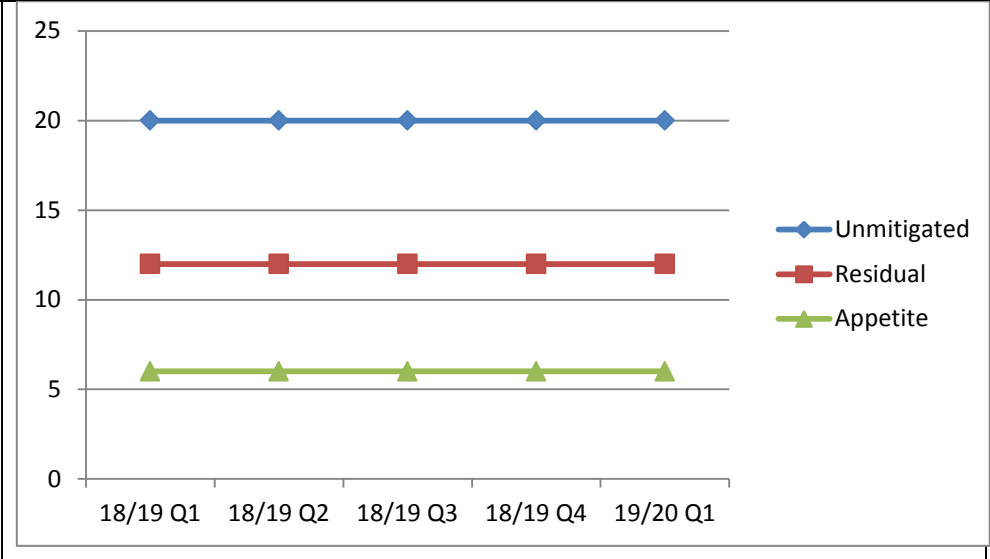
Risk Rating (Impact x Likelihood)

Unmitigated 5 x 4

Current Residual 4 x 3

Appetite 3 x 2

Potential Impact
Breach of governance procedures could lead to adverse Ombudsman, Ofsted, External Audit, Care Quality Commission opinions and/or Legal challenge from those who interact with the Council



Rationale for current score:

While controls are in place, they are not always being followed. Processes are improving as are training and policies, but the impact of this is not yet proven. The Council's AGS suggests progress still needs to be made to reduce the residual risk.

Rationale for risk appetite

A Council should be a model of propriety and control to ensure confidence in its handling of public assets. Hence the likelihood of non-compliance should be at a minimal level. Good governance underpins all work to achieve the Council's targets

Current RAG rating RED

Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- Follow up on Audit Recommendations to ensure that they are all dealt with fully so that systems, processes and compliance are improved. Recommendation tracker presented to A&G along with limited assurance audit reports in full.
- The induction programme for new members of staff includes guidance to certain key governance policies (including the Code of Conduct);
- Staff code of conduct issued with contracts of employment for all staff
- Strategic risk register to be kept up to date and reviewed promptly.
- Roll out of net consent for policy management; recently used for GDPR training.
- Risk management training completed or planned for Heads of Service & Directors 2019
- Budget managers trained in Nov 17
- Some HR policies already agreed such as sickness, disciplinary
- Ethics statement being refreshed
- Control of payments to employees better controlled through I Trent roll out

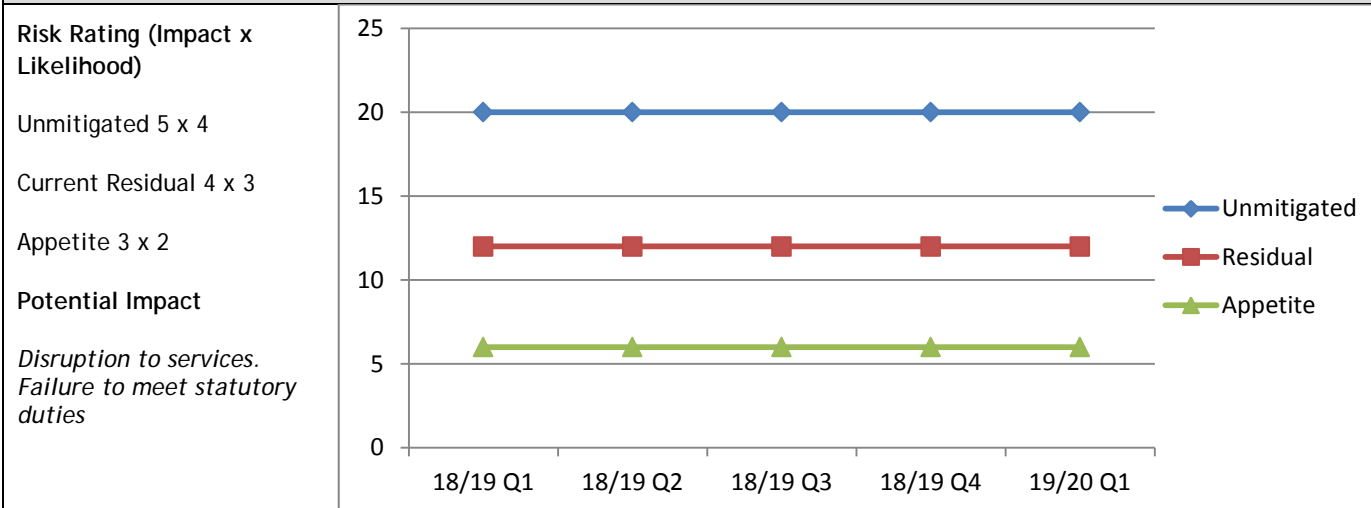
Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
A new budget management training module is in progress of being prepared and will be rolled out across the organisation in the Autumn	Assistant Director of Finance	Q4 2020
Continue to use the Directorate Performance Steering Groups to drive compliance	Assistant Director of Finance	Continuous
Financial Regulations are currently being updated and will be rolled out as soon as approved	Assistant Director of Finance/ Director of Resources	Q2 19/20
HR policies and procedures are being reviewed and updated	Assistant Director of HR	Mar 2020
<ul style="list-style-type: none"> Code of Conduct to be relaunched. 	Assistant Director of HR	Mar 2020
<ul style="list-style-type: none"> Refreshed anti-fraud & corruption and anti-money laundering policy approved by policy committee in April 2018. To be launched to staff by Q4 19/20 	Chief Auditor	Q4 19/20

	<ul style="list-style-type: none">• Roll out values and behaviours & ethics framework	Assistant Direct of HR (behaviours) Ethics (Chief Exec)	Q4 19/20
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Risk 5: Failure of major contract causes financial, service delivery, legal and H&S issues which directly impact the Council - (Care Homes, Home Care, ICT, OOH Call Handling, EDS etc)

Risk Owners: Assistant Director Commissioning, Quality and Wellbeing (DACHS)

Corporate Priority: *Ensuring the Council is fit for the future, Securing the economic success of Reading. Protecting and enhancing the lives of vulnerable adults and children.*



Rationale for current score:
Increasing pressure on children's/adults social care due to changing demographics.

Rationale for risk appetite:
Tolerance is relatively low due to knock on effect on service delivery

Current RAG rating RED

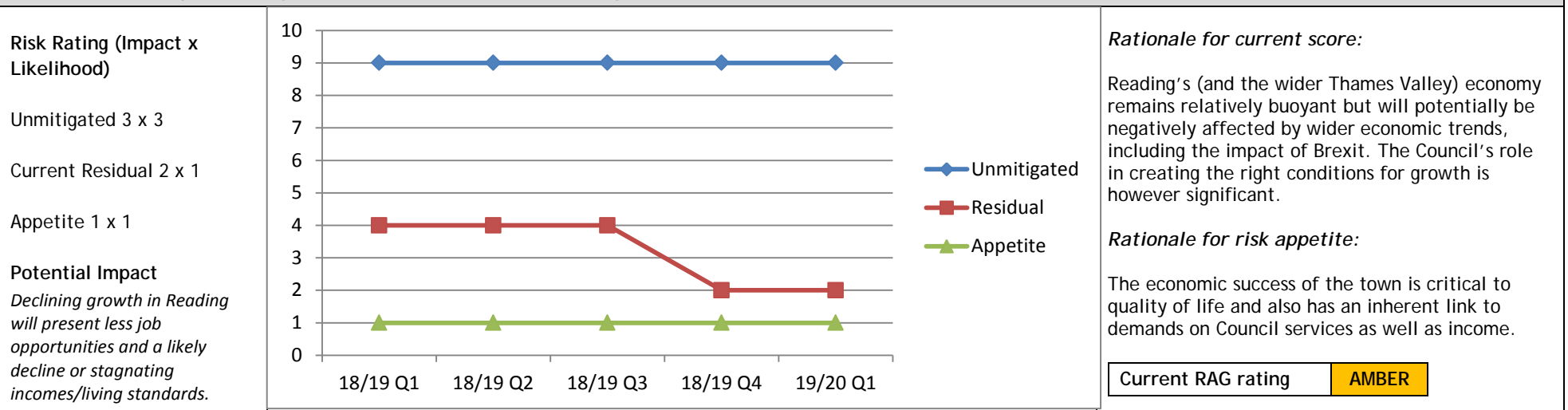
- Current Actions** (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)
- Providers are required to have a business continuity plan in addition where the provider is not an RBC run service the plans of each independent provider are checked as part of the ASC contract monitoring procedures.
 - Contracts with the voluntary sector retendered and being implemented.
 - Agreed a Section 75 for the Better Care Fund
 - Business Continuity Plans reflect critical functions.
 - Key contracts are monitored on a regular basis as part of the contract performance mechanisms in place for all contractors. This should address any capacity or performance issues that might indicate that there may be issues with financial/general viability
 - Financial assessments of tenderers undertaken for all major contracts let by the Council and annual financial assessment checks where appropriate for major contractors
 - To raise profile of having effective contract management in place
 - The ASC provider failure protocol has recently been updated and approved
 - Intervention where providers are failing to support them in delivering a service if viable and appropriate.
 - Implementation of the new Care Home contract is under way

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
Shaping the Care Home and Home Care/ Supported Living market through the issue of new dynamic framework contracts that are fit for the future	Assistant Director - DACHS	1.4.20
The implementation of the Directorates Strategy for Adults and Health "Supporting Our Future", Three Year Commissioning Plan, and Market Position Statement.	Assistant Director - DACHS	1.8.19
Completing the implementation of new Care Home contracts and a sustainable, Cost of Care model	Assistant Director - DACHS	1.9.19
Seeking solutions to work SMARTER across Children and Adults - commissioning under prevention frameworks.	Assistant Director - DACHS / Head of Procurement/ BFFC Contract Manager	31.12.19

Risk 6: Insufficient vision and strategy for regeneration and economic growth leading to a lack of long-term investment in strategic infrastructure and consequential decline in economic growth and prosperity in Reading and the wider sub-region.

Risk Owners: Executive Director for Economic Growth & Neighbourhood Services

Corporate Priority: *Securing the economic success of Reading*



Current RAG rating **AMBER**

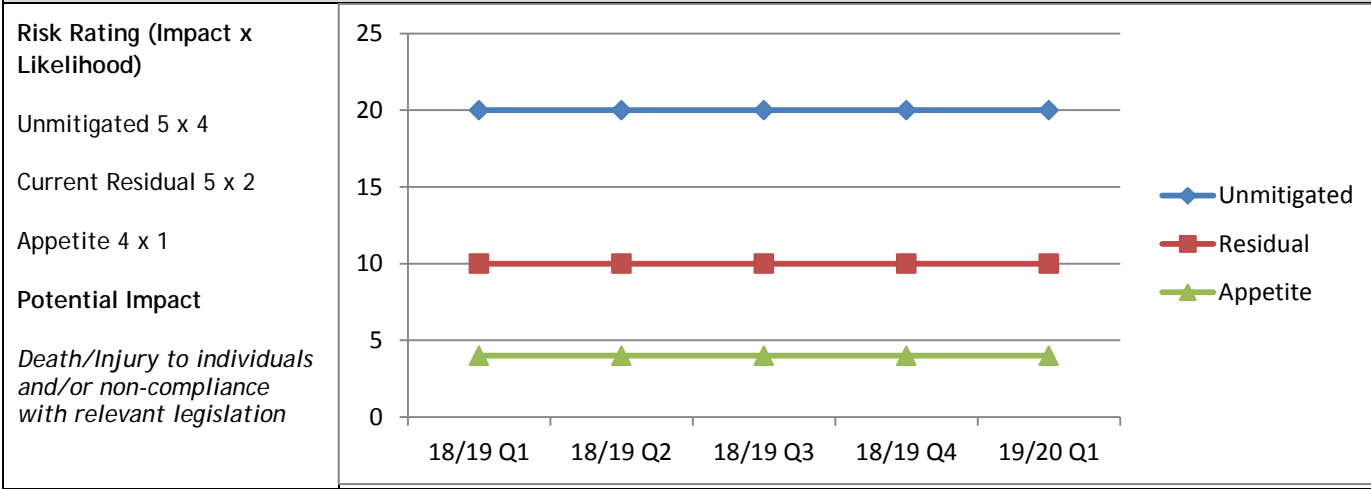
- Current Actions** (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)
- A33 MRT schemes underway - phases 1 & 2 delivered, phases 3 & 4 due for completion end 2019. (Future phases subject to funding).
 - Green Park station project - site mobilisation works commenced in Autumn 2018 with station opening in Winter 2020
 - New Local Transport Plan 4 with visioning consultation scheduled for the Summer 2019
 - Smart City Cluster Project - A 1.73million grant has been obtained to create an Internet of Things communication platform to gather and distribute data such as an environmental and traffic information.
 - The Council's new Local Plan setting out how Reading will develop up to 2036 ensuring housing, economic, environmental and social needs are met will be examined in September 2018 and due for adoption in Spring 2019.
 - The full housing needs required up to 2036 cannot be delivered within the Borough. RBC is working with Councils within the Western Berkshire Housing Market Area through an agreed MoU to ensure that the full housing needs are accommodated.
 - The Council's new build housing programme is adding to the supply of affordable housing in the town - Phase 1 completes Summer 2019 and will have provided 148 new affordable homes.
 - 2 x BID areas agreed

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
A project to install a 3 rd Thames Bridge at East Reading at the base of the A329 is being worked up with neighbouring local Authorities. This would ease traditional bottlenecks at Reading and Caversham Bridges, also reducing Town centre congestion as traffic would no longer be required to travel from the A329 through the Town Centre to the current bridges	Strategic Transport Programme Manager	TBC - subject to funding
Visioning work and public consultation to be undertaken to inform the emerging Local Transport Plan	Head of Transport	Summer 2019
Continue to develop a comprehensive network of sustainable travel choices, such as Park and Ride and enhanced public transport cycling and walking routes.	Strategic Transport Programme Manager	Ongoing - forms a part of the Council's Local Transport Plan
Adoption of the Local Plan	Head of Planning, Dev. & Regulatory Services	Autumn 2019

	<p>Local Authority New Build Programme on Council owned land over the next three years: Phase 2 will deliver circa 100 affordable homes - spend approved; schemes working through Planning</p> <p>Phase 3 schemes will deliver a further net 198 affordable rented Council homes. Spend and scheme approval for 2 sites required. Homes England bid submitted awaiting outcome .</p>	<p>AD Housing & Communities and DD Assets and Regen</p>	<p>2020-2022</p>						
<p><i>Risk 6 continued</i></p>									
<p>Current Actions<i>(What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)</i></p> <ul style="list-style-type: none"> • Joint work with Reading UK CIC to market and promote the town and secure investment in a high quality town centre offer and explore opportunities to improve the public realm. • Joint work with the TV Berkshire LEP to produce Local Industrial Strategy • Delivery of a comprehensive cultural programme to raise Reading’s profile, including for inward investors, with this being a key shared endeavour with the Council, Reading UK and the University as key partners, including: <ul style="list-style-type: none"> - Re-opening the Abbey Ruins to the public and as a venue for a range of events and activities; - Further development of the Abbey Quarter, including significant investment in the Town hall & Museum; • Delivery of the three year ‘Great Places’ scheme, including a new annual Reading-on-Thames Festival started Sept 18 and to return Sept 19 • Council responded to the draft Berkshire Local Industrial Strategy June 2019 	<p>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</p> <table border="1" data-bbox="1070 539 2072 798"> <tr> <td data-bbox="1070 539 1749 683"> <p>Secure appropriate and high quality development / re-development of the Reading Prison site to enhance the attractiveness of the town centre / Abbey Quarter as a destination.</p> </td> <td data-bbox="1749 539 1910 683"> <p>Head of Planning, Dev. & Regulatory Services</p> </td> <td data-bbox="1910 539 2072 683"> <p>Ongoing and subject to MoJ</p> </td> </tr> <tr> <td data-bbox="1070 683 1749 798"> <p>Further develop delivery plans to achieve the 2050 vision and to secure additional resources linked to these plans building on ‘Smart City’ investment already secured.</p> </td> <td data-bbox="1749 683 1910 798"> <p>Head of Economic & Cultural Dev.</p> </td> <td data-bbox="1910 683 2072 798"> <p>Ongoing</p> </td> </tr> </table>			<p>Secure appropriate and high quality development / re-development of the Reading Prison site to enhance the attractiveness of the town centre / Abbey Quarter as a destination.</p>	<p>Head of Planning, Dev. & Regulatory Services</p>	<p>Ongoing and subject to MoJ</p>	<p>Further develop delivery plans to achieve the 2050 vision and to secure additional resources linked to these plans building on ‘Smart City’ investment already secured.</p>	<p>Head of Economic & Cultural Dev.</p>	<p>Ongoing</p>
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<p>Further develop delivery plans to achieve the 2050 vision and to secure additional resources linked to these plans building on ‘Smart City’ investment already secured.</p>	<p>Head of Economic & Cultural Dev.</p>	<p>Ongoing</p>							

Risk 7: The Council doesn't take adequate mitigation to reduce the risk of injury or death from incidents within Council residential accommodation and private high rise within the borough **Risk Owners:** Assistant Director for Housing & Communities

Corporate Priority: *Improving access to decent housing to meet local needs*



Rationale for current score:
A significant amount of work has been undertaken and is underway (across the Council and Fire Service) following Grenfell Tower to address the issues raised by that incident. This has reduced the likelihood of a significant fire related incident but the impact remains high.

Rationale for risk appetite
The Council has a low appetite for injury or death to its residents tenants. Considering that the impact of an incident is potentially a fatality, the Council's residual risk score may never reach our appetite.

Current RAG rating RED

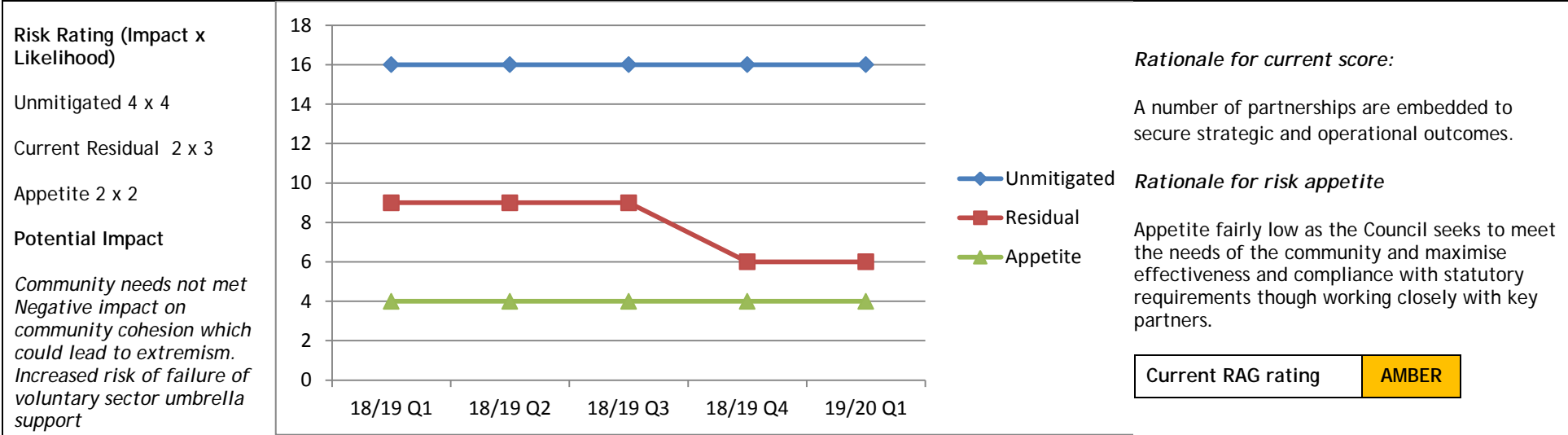
- Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)**
- Detailed Housing Service action plan completed in respect of fire safety post Grenfell Tower. H&S compliance monitoring has been reviewed and strengthened.
 - Type 4 intrusive Fire Risk Assessments of sample high rise and other higher risk low rise blocks completed. Overall findings were positive. Advice re additional fire safety measures proposed to proactively improve safety in flatted blocks have been costed and scheduled - this has resulted in a capital requirement over 5 years of circa £6-7m in the Housing Revenue Account. Works have been or are being commissioned according to our 5 year programme of works.
 - All 350 RBC flatted residential blocks had an FRA completed as at end December 2017 and are on a rolling programme of assessment per LGA guidance using external and internal capacity. Internal assessors are fully trained but we are now additionally seeking external accreditation.
 - A block inspector regularly checks all blocks and housing officers are on site most days to ensure frequent monitoring. From this year every flat within the blocks will have their smoke alarm tested every year and tenants are encouraged to check them weekly.
 - Joint RBC and Royal Berkshire Fire and Rescue Service (RBFRS) service inspections of priority high rise following an MoU. 86 residential buildings over 18 meters in height have been identified within the Reading Borough Council administrative area including the 7 local authority blocks.
 - Working with owners to remove ACM cladding on three high rise buildings. Interim measures in place to secure safety of residents. Regular reporting to DHCLG.
 - Corporate working group set up to review, agree and implement actions arising. ASC are reviewing the procurement standards and checks within their housing. The issue has been raised with BfFC.

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
In 2018/19 a wider external audit of health and safety practice in Housing has been commissioned. It is intended that an annual audit will now be carried out with a different agreed focus each year. Audit completed in 2018/19 with a focus on Construction, Design and management (CDM) . Report and action plan finalised - with external assessor and actions are being worked through.	Housing Building Maintenance Manager	Sept 19
Continue to work with and monitor owners response to remove cladding from three high rise properties. Work to remove cladding on two buildings has commenced. Address issues raised following the joint RBRFS inspections and react to emerging issues as they are identified.	Head of Planning & Regulatory Services.	Ongoing
Continue to monitor our Corporate response via the Corporate Fire Safety Working Group. In particular, ensure that housing procured for vulnerable adults and children have the relevant agreements and checks in place.	Head of Planning & Regulatory Services.	Ongoing

Risk 8: Partnerships - Failure to develop and maintain key partner relationships results in failure to deliver key shared outcomes

Risk Owners: Head of Customer Care and Transformation and Head of Transformation & Performance

Corporate Priority: *Securing the economic success of Reading. Improving access to decent housing to meet local needs. Protecting and enhancing the lives of vulnerable adults and children*



Current RAG rating **AMBER**

- Current Actions**(What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)
- Reading 2050 vision document sets out a shared view of key priorities for the future of Reading. We will be working with partners across the town to identify the actions needed to deliver this vision a Reading Futures Commission group made up of key partners is being set up to steer this.
 - Community Safety Partnership - brings together the Council, Police and a wider range of partners and agrees clear joint strategic priorities with activity monitored through a number of delivery groups reporting to the partnership; regular and structured liaison is in place between RBC/Police at a range of tiers.
 - Local Enterprise Partnership and joint working to influence investment in infrastructure, skills and private sector to support economic growth.
 - Cultural Partnership and Cultural Education Partnership to drive delivery of a cultural renaissance and contribute to achieving priority social outcomes, including educational attainment, employment and employability, health and well-being (targeting more vulnerable groups / communities).
 - We have set up quarterly meetings of the chief executives voluntary and community sector sounding board to identify areas for joint working on key areas of concern
 - Key stakeholder meetings are held with key partners on an ongoing basis
 - One Public Estate Partnership - to oversee and implement shared property ambitions across the public estate.
 - CSC - participation in statutory and strategic partnerships to include Local Safeguarding Board, Children's Trust Board, Children's Services Improvement Board,

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
Pilot work with the voluntary sector to deliver the adult social care front door function thus enhancing out wider preventative offer and reducing the need for reliance on statutory services	Assistant Director of transformation and performance	Oct 19
Launch of the Market Position Statement with Adults Social Care providers to provide clarity on the services direction of travel, service defects and market shaping opportunities	Assistant Director of transformation and performance	Sept 19
Relaunch of Adult Social Care and integration governance across a wider geographical footprint with Local Authorities firmly engaged and influencing the development of the health and social care economy	Assistant Director of transformation and performance	Sept 19
Work to improve partnership working in areas of multiple deprivation to commence 20/21	TBC	Q4 20/21

<p>Health & Wellbeing Board. Strategic Management Group (TVP)</p> <ul style="list-style-type: none"> • Adult Social Care provider forums meet quarterly with a focus on new ways of working, areas for service developments and markets challenges • Adult Social Care and Health Integration and collaborative working is discussed at the Berkshire West 7 Programme Board that meets monthly. 	<p>Review the quality of partnership work and consider whether to reintroduce a Local Strategic Partnership body</p>	<p>Head of Customer Care and Transformation</p>	<p>Q4 20/21</p>
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<p>Risk 9: BfFc - Failure of the new Children’s Company to improve service levels and financial overspend, results in poor performance and accelerated adverse financial impacts (as failure to improve overspend means the Council is unable to access the delivery fund grant)</p>		<p>Risk Owner: Assistant Director for Procurement & Contracts</p>																					
<p>Risk Rating (Impact x Likelihood)</p> <p>Unmitigated 4 x 4</p> <p>Current Residual 4 x 2</p> <p>Appetite 2 x 2</p> <p>Potential Impact</p> <p><i>Financial overspend, poor service provision and impacts on children</i></p>	<table border="1"> <caption>Risk Rating Data</caption> <thead> <tr> <th>Quarter</th> <th>Unmitigated</th> <th>Residual</th> <th>Appetite</th> </tr> </thead> <tbody> <tr> <td>19/20 Q1</td> <td>16</td> <td>8</td> <td>4</td> </tr> <tr> <td>19/20 Q2</td> <td>16</td> <td>8</td> <td>4</td> </tr> <tr> <td>19/20 Q3</td> <td>16</td> <td>8</td> <td>4</td> </tr> <tr> <td>19/20 Q4</td> <td>16</td> <td>8</td> <td>4</td> </tr> </tbody> </table>	Quarter	Unmitigated	Residual	Appetite	19/20 Q1	16	8	4	19/20 Q2	16	8	4	19/20 Q3	16	8	4	19/20 Q4	16	8	4	<p><i>Rationale for current score: Brighter Futures for Children is a new company and as such governance processes between Council and Company are still settling in and being developed.</i></p> <p><i>Rationale for risk appetite: Delivery of services for Children is of the highest importance.</i></p> <p>Current RAG rating RED</p>	
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19/20 Q4	16	8	4																				
<p>Current Actions (What we are currently doing about the risk - Causes Unmitigated Score to reduce to Residual)</p> <ul style="list-style-type: none"> Contract governance arrangements have been set up to provide monthly reporting overviews on the BfFc finances, to enable early sight of any financial issues and concerns Part of the financial reporting includes updates on the delivery of the transformation plan to support both service improvements and efficiencies There are also informal meetings between RBC officers and the BfFc Director for Finance and Resources From a service perspective, there is a monthly Children’s Services Improvement Board which also provides oversight and partner support to the BfFc overall Improvement Plan. Whilst this focusses on Children’s Services, the plan requires close working with Education and Early Years on overall system improvement Service delivery of BfFc is supported in a number of areas by the delivery of support service SLAs by RBC. The BfFc Contract Management function also monitors the services delivered by RBC to support overall BfFc and RBC aims 		<p>Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities</p> <table border="1"> <thead> <tr> <th></th> <th>Officer (s) responsible</th> <th>Target date</th> </tr> </thead> <tbody> <tr> <td>Continue the current actions listed to the left</td> <td>KG</td> <td>Ongoing</td> </tr> <tr> <td>Support the Improvement of recruitment and retention of staff at all levels with BfFc via the HR support SLA</td> <td>SS/JY</td> <td>Ongoing</td> </tr> </tbody> </table>			Officer (s) responsible	Target date	Continue the current actions listed to the left	KG	Ongoing	Support the Improvement of recruitment and retention of staff at all levels with BfFc via the HR support SLA	SS/JY	Ongoing											
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<p>Risk 10: Adult Safeguarding - Risk of death harm or injury to vulnerable persons for whom we have a responsibility</p>		<p>Risk Owners: Executive Director of Social Care and Health</p>																					

Corporate Priority: *Protecting and enhancing the lives of vulnerable adults and children*

Risk Rating (Impact x Likelihood)

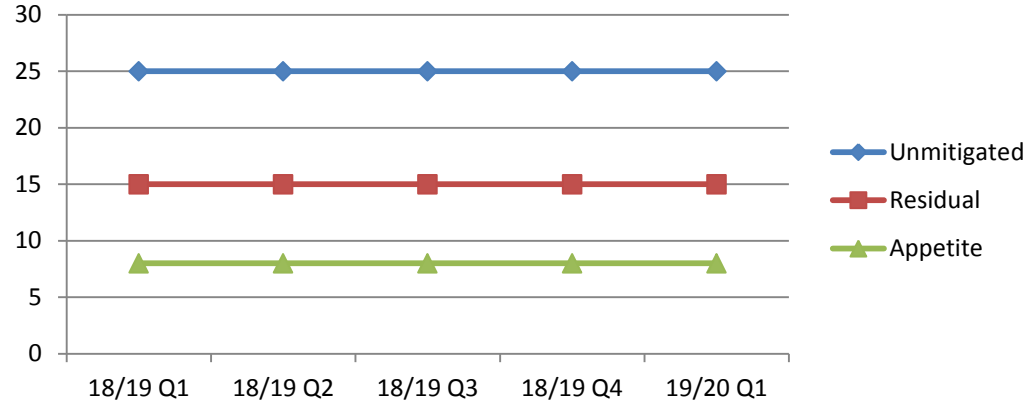
Unmitigated 5 x 5

Current Residual 5 x 3

Appetite 4 x 2

Potential Impact

Death or injury. Loss or reputation. Fines/penalties. Insurance claims



Rationale for current score:

Risk of death or serious injury

Rationale for risk appetite

Given the risk relates to the safeguarding of vulnerable individuals the risk appetite is low.

Current RAG rating **RED**

Current Actions (What we are currently doing about the risk- Causes Unmitigated Score to reduce to Residual)

- From June 2019 Safeguarding Team Manager to sign off all S42 Safeguarding enquiries before closure.
- In instances where there is a serious concern or death, in unexplained circumstances or where abuse is suspected, these cases are referred as a Safeguarding Adults Review, to the Safeguarding Adults Board (SAB). At this point consideration is given to whether this will be investigated further, independently if required.
- Review of policies and procedures in Operations and Commissioning to ensure a joint quality assurance framework in relation to providers where safeguarding concerns are raised.
- Director level oversight of weekly tracking of Adult Safeguarding referrals and protection plans. This is monitored via the Adults Performance Board. to commence and monitoring via the Adults Performance Board.
- Contact monitoring is in place alongside timely reviews of individuals in care settings.

Further Mitigation (what more should we do to reduce residual risk to our risk appetite level) and opportunities	Officer responsible	Target date
Director level oversight / Weekly tracking of safeguarding referrals and protection plans	Deputy Director	31.10.19
Quality Assurance Framework to be revised to ensure standards are maintained to the contract requirements.	Head of Strategic Commissioning - DACHS	1.9.19
Develop Council wide response to Modern Slavery	Public Health Consultant	31.10.19