

Risk Ref	Risk	Cause	Effect	Initial Risk Rating	Control	Current Risk Rating	Action	Target Risk Rating
ORG0021	Failure to Deliver Balanced Budget	<p>Overspending in Children's Social Care.</p> <p>Failure to manage key outsourced contracts such as Amey, avarto and Cambridge Education</p> <p>Inappropriate budgetary monitoring</p> <p>Failure to manage the cost of projects</p> <p>In year reduction in Central Govt funding, (Public Health). This does not leave enough time to reorganise services</p> <p>The Council works with many key strategic partners all of whom have their own agendas and limited access to budgets</p>	<p>Qualified external audit opinion</p> <p>Increased Central Government pressure</p> <p>Damage to reputation</p> <p>Reduction in local Public Health services</p> <p>Lack of joined up working with NHS, leading to greater inefficiencies</p> <p>Lack of assistance an co-operation between public bodies and the Council increases public service risks</p> <p>NHS may feel that the Council is using the "pooled budget" arrangement to mitigate the effect of Council budget reductions and the NHS may reduce it's contribution to the Better Care Fund creating further budget pressures.</p>	24 - Very High	<p>The use of a timetable to produce both management information which is reported throughout the organisation and also to budget holders.</p> <p>A timetable has been produced and communicated to relevant staff, and is being complied with; The accurateness of budgetary information reported to management;</p> <p>The monitoring and reporting of budgets and investigation and explanation of variances where significant variances exist between planned and actual expenditure/income; we also considered the timeliness of information reported to management;</p> <p>The involvement of Budget Holders in regular reviews of financial performance and how the Finance Team liaise with Budget Holders</p> <p>Whether a programme of training has been established for Budget Holders across the organisation;</p> <p>The appropriateness of budget virements</p>	15 - Very High	<p>Outcome Based Budgeting to match financial resources to the 5YP, and encourage innovation and new strategies</p> <p>Joseph Holmes 31/03/2016</p> <p>Monthly Budget Monitoring reported to CMT and C&D</p> <p>Joseph Holmes 31/03/2016</p> <p>Medium Term Financial Strategy</p> <p>Joseph Holmes</p> <p>Ensuring adequate levels of financial reserves in line with the s151 officer's guidance</p> <p>Joseph Holmes 31/03/2016</p> <p>Conitune to monitor the progress of BCF projects and BCF Risk Register</p> <p>Alan Sinclair 31/03/2016</p>	8 - Medium

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					<p>completed in 2014/15 and whether these are compliant with Financial Procedure Rules;</p> <p>The consistency in the message and information reported to Directorate meetings and CMT;</p> <p>The establishment of a dedicated savings programme which has received approval at an appropriate level of Senior Management;</p> <p>The reporting to Senior Management on the progress of saving scheme and whether these are delivering the targets as proposed or where delays or issues that have arisen, these have been acknowledged and actions taken to improve performance.</p> <p>2014/15 Budgetary Control Audit Report = Amber/Green</p> <p>Better Care Fund agreed.</p> <p>Better Care Fund Fund allocation agreed</p> <p>Contingency identified in case target for hospital admissions</p>			

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					<p>not met Council to "host" pooled budgets, but risks lay with project owners, (NHS) 12 separate projects to remove clients from hospitals</p> <p>Reports to Wellbeing Board and to Cabinet</p> <p>Ensuring representation on key boards e.g. Wellbeing Board</p> <p>Utilising joint funding opportunities wherever possible</p> <p>Better Care Fund Plan developed with input from key stakeholders</p> <p>Governance arrangements have been put in place to monitor the the delivery of the BCF plan</p> <p>A programme tracker has been developed to monitor delivery of the BCF this tracker also monitors expenditure in relation to the BCF</p> <p>Pooled budget agreement signed off</p> <p>Terms of Reference, Risk register and Project Risk register created for Better Care Fund</p> <p>The development of an action plan to address</p>			

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					the issues raised by the LGA peer review report and embed transformation within the financial processes.			
ORG0031	Detrimental impact on Finance and Resources due to demographic change	<p>Transient nature of Sloughs population means it is difficult to predict the level of services and amenities required.</p> <p>Increase in older people population</p> <p>children and young persons population working through the system</p> <p>risk of new migration</p>	<p>Pressure on services offered by the Council</p> <p>Increased demand for waste disposal</p> <p>Increased demand for school places</p> <p>Possible rise in extremism</p> <p>Increased demands on Adult Social Care, Children and Families, and Housing</p>	9 - High	<p>Waste Strategy to deal with current levels and increases in waste disposal</p> <p>Benefits caseloads monitoring</p> <p>Housing Performance Information</p> <p>As of September 2015 there are projected to be sufficient school places going forward</p>	9 - High	<p>Re Procurement to be led by Waste Strategy & Contracts Manager to incorporate issues identified.</p> <p>Nick Hannon 30/09/2015</p> <p>Working Group to assess the possible impact of Syrian Refugees</p> <p>Krutika Pau</p>	6 - Medium

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ORG0035	Failure to protect adult social care users from physical, emotional or financial abuse	<p>Poorly trained staff or lack of training for staff provided by agencies</p> <p>Lack of robust multi-agency policies and procedures that are in line with national guidance, and no checks that these are being followed.</p> <p>The Care Act place new responsibilities with regard to Safeguarding</p> <p>Lack of resource to undertake the work to identify and protect vulnerable adults at risk.</p> <p>Lack of engagement and involvement with agencies such as the NHS, Police and Voluntary Sector organisations</p> <p>Poor Quality commissioning of services.</p> <p>Lack of monitoring of Personal Budgets provided to service users</p>	Damage to reputation. Criticism from regulatory bodies such as the Care Quality Commission	12 - High	<p>Safeguarding Action plan</p> <p>Business Plan for 2015/16 with 10 objectives</p> <p>Care Governance Group, which includes the NHS assesses the quality of Care Homes and Domiciliary Care providers on a RAG basis. Where providers are rated as RED clients are withdrawn. AMBER rated providers are kept under review</p> <p>Practice guidance for staff updated Feb 2015</p> <p>Safeguarding Adult Workforce Development Strategy 2014-2017</p>	6 - Medium	<p>Safeguarding Annual Business Plan Review</p> <p>Alan Sinclair 31/03/2016</p> <p>Monitoring through Safeguarding Board involving key partners, Police and NHS</p> <p>Alan Sinclair 31/03/2016</p>	6 - Medium

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ORG0042	Failure to maintain a minimum level of service due to a major system failure	<p>Lack of Business Continuity Plans and effective communication to all staff. No dedicated resource for Business Continuity Management.</p> <p>Lack of business premises in the event of an incident. Lack of staff to manage the Business Continuity Management.</p> <p>Lack of access to key systems.</p>	<p>The Council or it's outsourced contractors are unable to provide an expected level of service. Negative publicity and possibly to put vulnerable service users at risk</p> <p>Appropriate and timely responses to incidents such as RTA's, flooding etc are not guaranteed</p>	12 - High	<p>A Business Continuity Working group has been set up with representatives of all departments. This group is used to inform the plans.</p> <p>Provision of new Disaster Recovery capacity for the Council is included as a Project under the Transactional Services Phase 2 Service Improvement Plan. It has been provisionally costed by arvato and is funded from a capital bid</p> <p>All BIA's have been reviewed.</p> <p>Key service criteria been established for IT and accommodation, key suppliers identified</p> <p>We have shared our plans with Avarto</p> <p>Resource identified as Business Continuity officer</p> <p>alternative premises being provided by arvato</p>	9 - High	<p>Identification of realistic Recovery time Objectives Simon Pallett 31/03/2016</p> <p>Implementation of Disaster recovery Capacity Simon Pallett 31/03/2016</p> <p>2015/16 Internal Audit on Business Continuity Chris Rising 30/10/2015</p>	8 - Medium

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ORG0043	Systems that are not robust or effective enough to meet the requirement of the modern digital age	<p>Obsolete IT programs still in use.</p> <p>Comprehensive Disaster Recovery Plan is not in place for all IT systems and associated programs.</p> <p>There are a number of bespoke Information Technology systems that require specialist niche skills to support and that are unable/costly to interface with each other.</p> <p>The Council's Storage Area Network (SAN) is approaching full capacity due to an extraordinary growth in storage of data. The Council needs to procure a new SAN in order to cope with future demand. The Council's capacity to rollout Document Image Processing, (DIP) in support of the Accommodation Strategy is diminished due to this lack of storage space.</p>	Information Commissioner may criticise and possibly impose fine Increased vulnerability to staff and clients in relation to IT programs. Increased risk of a loss of data as a result of cyber attacks damage to reputation	12 - High	<p>Mandatory Information Security E-Learning module completed by all staff (SBC & avarto) and Members and includes an annual refresher</p> <p>IT infrastructure improvement plan in place. avarto responsibility to upgrade systems and server network. Governance board established monthly meeting to be held to review progress.</p> <p>The IT Strategy (incorporating IT Governance) was approved by CMT. There is a draft 2015-2018 Strategy that was as reported to CMT in Jan 2015</p> <p>IT Governance Board reviews, prioritise and control the size of the program</p> <p>Responsibility for delivery of service to avarto ensuring required service is fully defined and KPIs set to measure performance.</p> <p>Key policies updated and distributed</p> <p>Governance Board now created</p>	9 - High	<p>IT Strategy being reviewed as part of to ensure that it reflects digital advances</p> <p>Roger Parkin 31/12/2015</p> <p>Implementation of IT support for Smart and Flexi working</p> <p>Roger Parkin 31/03/2016</p> <p>IT refresh continuing</p> <p>Roger Parkin 31/03/2016</p> <p>IGel replacement of of Citrix environment</p> <p>Roger Parkin 31/03/2016</p> <p>Migrating to Windows 7</p> <p>Roger Parkin 31/12/2015</p> <p>New Risk Management Software being procured.</p> <p>Phil Brown 31/12/2015</p>	6 - Medium

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					<p>Interim SAN now commissioned and implemented</p> <p>IT Strategy signed and being reviewed to ensure that it aligns with digital advances</p> <p>ERP Solution has been procured and is being implemented</p> <p>Cyber policies distributed to staff</p> <p>Key Performance Indicators, for service area to be vaserlined 1st year. Monitoring tools to be implemented as phase 2 activity.</p>			
ORG0044	Failure of CSO to delivery required improvements	<p>The new CSO fails to have effective leadership to deliver the required improvements in the service.</p> <p>The new organisation does not have the required budgetary responsibility</p> <p>The Council does not monitor and challenge the CSO's performance</p>	<p>Reputational damage</p> <p>Diversion of capacity and resources</p>	16 - Very High	Seeking to improve committment throught negotiation and contract monitoring	9 - High		9 - High

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ORG0037	Failure to meet statutory responsibilities	<p>The Government has introduced a raft of Welfare Reforms including universal credit, limiting benefit paid to allow for one bedroom per person in a household</p> <p>Impact of Governments reforms to Adult Social Care through Care Act 2014 and through the direction of the Better Care Fund</p> <p>Universal Credit for the more basic cases goes live in September 2015 in Slough</p> <p>Increase in Housing demand</p> <p>Reduction in grant to deliver mandatory outcomes</p>	<p>The current welfare reforms could lead to increased levels of poverty and debt amongst those claiming benefits tempting hard pressed families to go "loan sharks" increasing the spiral of poverty.</p> <p>It could also lead to increased levels of Housing Rent debt as benefit is paid to the claimant rather than the landlord.</p> <p>The reforms may also lead to London Borough's placing homeless people in Slough, thus reducing the capacity for Sloughs own homeless persons, an increase in bed and Breakfast accommodation costs, and overcrowding in cheaper but smaller properties.</p> <p>There is thought to be an increased risk of fraud with the introduction of the universal credit IT system</p> <p>Increased pressure on the Welfare Rights section.</p> <p>Increased number of social care users and associated costs to the Council</p> <p>Increased pressure on Housing, Children and Families and Public Health</p> <p>Possibility of insufficient school places in the future</p>	12 - High	Pro Active measure by Welfare Unit Universal Credit workshop	8 - Medium	<p>Care Act review of implementaion as part of ASC reform program</p> <p>Alan Sinclair 31/03/2019</p>	8 - Medium

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ORG0039	Failure to manage major contracts to obtain expected outcomes	<p>Internal audits completed in 2013/14 identified that there are weaknesses in the Councils contract management arrangements. As a result some contracts are not adequately performance managed</p> <p>Lack of experienced contract managers</p> <p>The Cambridge Education contract has only one year to ago and there is a possibility that Cambridge education may pay less attention to the contract than previously</p>	<p>Financial overspends</p> <p>Poor performance by contractors</p> <p>Lack of quality in relation to services provided</p> <p>Increased possibility of fraud and corruption</p>	16 - Very High	<p>Actions identified from previous internal audit reports have been implemented, improving the control framework.</p> <p>Dedicated contract managers in place for Council's main contracts.</p> <p>Copies of all major contracts held in electronic and hard copy</p> <p>KPIs in place for major contracts.</p> <p>Director has regular meetings with Contract Managers</p> <p>Contract Management training provide by LG Futures</p> <p>Asst Director Commissioning and procurement has been appointed</p>	9 - High	<p>Tri-partite meetings with CSO and Cambridge to ensure that service meets the needs of SBC</p> <p>Krutika Pau 31/03/2016</p>	9 - High

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ORG0040	Failure to manage transition of Children's Services	<p>Lack of leadership.</p> <p>Failure to adequately manage the transfer of budgets, staff, and contracts.</p> <p>Uncertainty over the new structure</p> <p>Poor relationships with New Organisations advisers</p>	<p>Greater pressure is put on all other Council services through having to make higher levels of saving on a much lower overall budget base</p> <p>The Council loses control over the delivery of this service.</p> <p>The council will need to re-organise its support services as these may also be transferred; this could lead to less resilience</p> <p>The transfer is complicated by the fact that parts of the wider children's service provision has been outsourced to Cambridge Education</p> <p>In the time of the actual transfer the delivery of the service may suffer due to loss of staff and staff morale.</p> <p>Reputational damage to Council, Members, and staff</p> <p>There is also an issue around the ability to meet the Transfer date of September 2015</p> <p>Issues around transfer of confidential data, ability of new organisation to attract staff, willingness of SBC to contract with new organisation</p>	24 - Very High	<p>Transition Project led by Strategic Director of Customer and Community Services.</p> <p>The Transition Board has a detailed risk register</p> <p>Reports to Overview and Scrutiny February 2015</p> <p>Memorandum of understanding established to help mitigate risks</p> <p>The cost of "back-filling" posts will be met by Secretary of State</p> <p>The Council have appointed external lawyers to lead on negotiations pertaining to the drafting of a contract for the new organisation and to protect the interests of the Council for strategic partnerships already in place with external providers.</p> <p>Joint workshops have taken place to help inform the detail of the draft high level project plan, Stakeholder Engagement Plan, Risk Management Matrix and the Governance arrangements of the</p>	15 - Very High	<p>Negotiations with existing Third Party contractors regarding novation of contracts</p> <p>Amardip Healy 30/09/2015</p> <p>Provisional budget by 3/15 Final Budget agreed</p> <p>Joseph Holmes 30/09/2015</p> <p>Finance model to test viability of new org and sustainability of Council</p> <p>Joseph Holmes 30/09/2015</p> <p>Assess the impact of the residual Council Services</p> <p>Roger Parkin 30/06/2015</p>	8 - Medium

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					project. Four work streams have been identified these are; Legal, Communications, Finance and HR Interim Director of Children's Services appointed			
ORG0041	Inability to deliver the required organisational and operational changes	Lack of sufficient staff/resources Lack of accountability for effecting changes Lack of plan to deliver required change	Inability to meet the financial challenges from the Government and changing expectations from the 5 year plan. Work Related consequences: Stress related illnesses/behaviours Resentment Departure of best talent Poor performance Failures of judgement	15 - Very High	Clearly articulated 5 year plan and outcomes focus Increased collection rates and tax bases mitigate some of the financial pressures	12 - High	Effective workforce strategy and action plan articulated across the organisation CMTMembers 31/03/2015 Assess the capacity for both normal operations and carrying key organisational change initiatives CMTMembers 31/03/2015	12 - High