

Appendix 4

Report Date	16 Aug 2017
Risk Area	1. Corporate Risks

Risk Ref	Risk Title	Risk Owner	Description & Consequence	Inherent Risk Priority	Assurance Level	Assurance Given	Residual Risk Priority	Action Required	Person Responsible	Action Status	Target Risk Priority
CR 4	Managing the urban regeneration projects such that they deliver a quality product on time and to budget.	TBD	<p>Description There are a number of major regeneration projects planned for the town which when completed will attract businesses in the area e.g. the TVU site and the old library. Failure to manage these projects effectively may result in project delays and increase project costs</p> <p>Consequence The main impact will be delays in attracting businesses to the area with the consequential loss of income and ability to provide jobs and opportunities for Slough residents. Inadequate governance arrangements will contribute to ineffective decision making and management</p>	15		No	15	TBC Person Responsible: To be implemented by:			15

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CR 2	Ensuring financial sustainability.	TBC	<p>Description The revenue support grant is declining whilst the population in the Borough is growing. In addition there is an increasing demand for adult social care which overspent its budget last year. Efficiency savings still need to be made to reduce expenditure, whilst the financial sustainability of the Council in the longer term is reliant on increased levels of income being generated by attracting new businesses to the area. There is limited ability to increase income through an increase in Council Tax or Business rates.</p> <p>Consequence Failures or delays in the Slough Urban Regeneration programme is likely to produce an extended period of lower than expected income which will in turn impact the quality of services that can be delivered and result in a failure to meet the corporate objectives</p> <p>Reputational Damage</p>	16	Limited	Yes	8	<p>To be confirmed</p> <p>Person Responsible:</p> <p>To be implemented by:</p>			8

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CR 1	Recruiting, retaining and stabilising the senior management team.	TBC	<p>Description There are currently interim positions at Chief Executive and Resources, Housing and Regeneration Directorate. Two out of seven assistant directors have recently resigned. The Council is undergoing an organisational restructuring, requested by the leaders, and there is a need to recruit into these posts.</p> <p>Consequence Failure to stabilise the senior management of the Council will result in reduced effectiveness of leadership and potential inability to achieve the corporate objectives.</p> <p>Reputational Damage</p>	20		No	16	Complete the consultation for the Director and service Lead roles Person Responsible: To be implemented by: 21 Aug 2017		Outstanding	8
						Once consultation is complete implement new structure will need to be implemented Person Responsible: To be implemented by: 02 Oct 2017			Outstanding		

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CR 10	Ensuring that the sustainability and transformation partnership (STP) reaches a satisfactory agreement between all the partners.		<p>Description There are 13 partners on the Board including acute hospital trusts, community trusts and CCGs, The costs will shift away from health care into the community and social care</p> <p>Consequence Failure of sufficient funds to be transferred to the Council to provide the social care will result in the Council not agreeing with the consequential reputational damage or the Council being put under greater financial pressure.</p>	12		No	12	TBC Person Responsible: To be implemented by:		Outstanding	12
CR 7	Ensuring that the Council has adequate human resources with the skills required to meet their corporate objectives.	TBC	<p>Description The Council has relied on a high number of agency staff to carry out its functions because of role vacancies. The organisational restructuring provides the opportunity to recruit staff into roles.</p> <p>Consequence Failure to develop the workforce and retain staff will mean that the Council does not have the required skills to meet its corporate objectives.</p>	20		No	20	To Be Decided Person Responsible: To be implemented by:	Phil Brown	Outstanding	20

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CR 5	Ensuring the Town Centre redevelopment is completed in as short a timescale as possible.	TBC	<p>Description The town centre will be redeveloped investors to make it an attractive centre for businesses to operate from and residents to visit. However there will be a period when the town centre will be blighted.</p> <p>Consequence Failure to ensure this period is short will mean that businesses and their income will be delayed or they may decide to go elsewhere. We understand this happened in elsewhere</p>	12		No	12	<p>To Be Decided</p> <p>Person Responsible:</p> <p>To be implemented by:</p>		Outstanding	12

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CR 11	Ensuring the Council's internal control environment is fit for future.	TBC	<p>Description Continued changes in personnel / vacancy / service change have resulted in loss of corporate memory and deterioration in the control framework including adherence with policy, systems, process and procedures. This has resulted / continues to result in decisions being made without a firm policy footing, or decisions being made often late or without sufficient due process etc. This is applicable amongst to officers and members.</p> <p>Consequence The Council is therefore at greater risk of being challenged or making a poor decision with sub optimal outcomes.</p>	15		No	12	<p>To Be decided</p> <p>Person Responsible:</p> <p>To be implemented by:</p>		Outstanding	12

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CR 9	Management of the procurement process to ensure that the Council is fully compliant with procurement rules and meets the associated regulations.		<p>Description The Council operates a hybrid procurement model which is in between centralised and non-centralised procurement. Hence some procurement is undertaken directly from the Directorates.</p> <p>The procurement process should also comply with the Public Services Social Value Act by having regard to economic, social and environmental well-being with regard to public service contracts.</p> <p>Consequence Failure to follow the EU or local rules for procurement opens the Council up to the risk of being challenged by unsuccessful bidders. Hence it is important that procurement officers have adequate training and familiarise themselves with the basic rules.</p>	15		No	9	<p>The Procurement team will undertake monthly monitoring and analysis of expenditure by supplier and by type of expenditure to monitor compliance with the Council and EU procurement thresholds requiring formal contracts to be awarded and to identify any potential efficiencies and savings that could be delivered through consolidation of .</p> <p>Person Responsible: Phil Brown</p> <p>To be implemented by: 31 Aug 2017</p>		Outstanding	6
					Limited	Yes					

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Risk Ref	Risk Title	Risk Owner	Description & Consequence	Inherent Risk Priority	Assurance Level	Assurance Given	Residual Risk Priority	Action Required	Person Responsible	Action Status	Target Risk Priority
								<p>The Procurement Strategy will be updated to ensure it is aligned to the strategic priorities set out within the Five Year Plan. The strategy will then be issued to CMT and Cabinet for approval, published on both the Council website and intranet and then reviewed annually</p> <p>Person Responsible:</p> <p>To be implemented by:</p>		Outstanding	

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CR 3	Ensuring that the Council meets its statutory service requirements e.g. homeless, re-housing, emergency housing and schools provision.		<p>Description The Council has statutory responsibility to provide accommodation for the homeless and adequate housing and schools to meet the local demand. The increasing number of homeless is an emerging risk as the Council is required to find temporary accommodation which will be a high cost.</p> <p>Currently forecasts indicate that there will be an insufficient level of available places in early years as well as an excess demand for places in the secondary school sector within the medium term.</p> <p>Consequence The Council owns 7,000 residential properties of mixed age dating back to the 1950s and of mixed condition. Failure to manage these properties would mean a failure to meet one of its corporate objectives.</p> <p>Reputational Damage</p> <p>The Council also has limited space in the Borough in which to build more houses and schools.</p>	20		No	20	Person Responsible: To be implemented by:			

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CR 6	Ensuring that the processes for bringing services back in house are efficient and effective in order that there is a smooth transition. Making sure these services operate to the standard expected by the Council. The following services are being brought		<p>Description Environmental services and special educational needs have been run by external organisations for the last few years.</p> <p>Consequence Failure to understanding how well the services have been managed, their financial situation, the skills of staff and the risks they carry may mean the Council is taking on unwanted liabilities or does not have sufficient capabilities / capacity to ensure successful continuity of services to users once they return to the Council.</p> <p>This coupled with the integration of these services into the Council will create additional pressures on services.</p>	15		No	15	<p>To Be Decided</p> <p>Person Responsible:</p> <p>To be implemented by:</p>	Phil Brown	Outstanding	15

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CR 8	Ensuring the effectiveness of resilience plans/ continuity plans for key locations and services.	Phil Brown	<p>Description The Council's business continuity plan was last reviewed in 2013. The internal audit report in 2016 would provide no assurance that adequate controls are in place. The BCP has not been tested through desk top or simulation exercises.</p> <p>Consequence Failure to have an up to date BCP places the Council at risk of being unable to continue its business should a serious event cause disruption. Senior management do not appear to have appreciated the significance of the risks or given this due attention in the past</p>	24		Yes	12	<p>The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level</p> <p>Person Responsible:</p> <p>To be implemented by:</p>		Outstanding	6
								<p>A formal programme of business continuity training will be developed and delivered to staff covering, but not limited to; • The roles and contributions of staff to the effectiveness of BCM within the Council</p> <p>Person Responsible:</p> <p>To be implemented by: 31 Dec 2017</p>		Outstanding	