

SBC Risk Register

Report Date	02 Jul 2018
Risk Area	1. Corporate Risks

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Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
CR 4	Inability to manage the urban regeneration projects such that they deliver a quality product on time and to budget	<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>	I = 4 L = 3 12	<p>Created a Directorate for Regeneration Asset Master Plan</p> <p>External advisors used for legal and technical advice</p> <p>Monitoring reports go to Cabinet & Members</p> <p>Terms of reference and governance around SUR contracts</p>	I = 3 L = 3 9	<p>Ensure that there is sufficient budget available Budget not finalised but know income expectations.</p> <p>Person Responsible: Joe Carter To be implemented by: 31 May 2018</p> <p>Ensure sufficient officer capacity with the right skill base</p> <p>Person Responsible: Joe Carter To be implemented by: 31 Jul 2018</p>	I = 3 L = 2 6
CR 20	arvato Contract	<p>Description The Council has a contract with arvato to supply a range of back officer and IT functions. the contract is due to end in the next two years and a decision needs to be made on what the Council intends to do going forward.</p> <p>There is a danger that arvato may decide to pull away from the contract..</p> <p>Consequence If the decision is to bring the service back in-house this is likely to get a hostile response from arvato and we may end up in contractual dispute leading to financial and reputational issues</p>	I = 3 L = 4 12	<p>There is an interim in place managing the contract with arvato</p>	I = 3 L = 4 12	<p>The Departmental restructure will look to address some of the monitoring issues</p> <p>Person Responsible: Barry Stratfull To be implemented by: 31 Mar 2018</p>	I = 3 L = 3 9

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CR 2	Failure to ensure financial sustainability.	<p>Description The revenue support grant is declining whilst the population in the Borough is growing. In addition there is an increasing demand for the Council's Services. Efficiency savings still need to be made to reduce expenditure, whilst the financial sustainability of the Council in the longer term is..</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. Failures or delays in the Slough..</p>	I = 4 L = 4 16	<p>Assessment of the impact of Brexit on Council finances</p> <p>Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management Teams</p> <p>External experts used to carry out financial analysis. 5 Year Plan in place</p> <p>Medium term financial strategy</p>	I = 4 L = 2 8	<p>Person Responsible:</p> <p>To be implemented by:</p>	I = 4 L = 2 8
CR 1	Recruiting, retaining and stabilising the senior management team.	<p>Description There are currently interim positions at Chief Executive.</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>	I = 2 L = 4 8	<p>Corporate Management Team that leads the Council</p>	I = 2 L = 4 8	<p>Appoint a permanent Chief Executive</p> <p>Person Responsible: Surjit Nagra</p> <p>To be implemented by: 31 Jul 2018</p>	I = 1 L = 2 2

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CR 19	Failure of Children's Social Care	<p>Description The council is currently subject to statutory intervention by the DfE following 3 consecutive failed Ofsted inspections. Social care Functions now sit within Slough Children's services Trust and will be re-inspected in 2018.</p> <p>Consequence Poor outcomes for vulnerable children include risks to safeguarding. Reputational damage to the council. Prolonged statutory intervention</p>	I = 4 L = 6 24	<p>Improvement Board</p> <p>Joint Parenting Panel</p> <p>Reporting to Cabinet</p> <p>Reporting to Education and Children's Scrutiny</p>	I = 3 L = 4 12	<p>Person Responsible:</p> <p>To be implemented by:</p>	I = 3 L = 3 9
CR 16	Ensuring that the Council meets its statutory duties with regards to school provision	<p>Description Currently forecasts indicate that there will be an insufficient level of available places in early years as well as likely demand for places in the secondary school sector within the medium term</p> <p>Consequence The Council fails to provide school places with significant reputational and legal consequences</p>	I = 4 L = 5 20	<p>Capital Strategy Board - provides oversight on capital spending and borrowing.</p> <p>Oversight by Cabinet and Overview and Scrutiny</p> <p>Place Planning Board – reviews the need for places.</p>	I = 4 L = 4 16	<p>Strategy to Cabinet</p> <p>Person Responsible: Cate Duffy</p> <p>To be implemented by: 31 Jul 2018</p>	I = 3 L = 3 9

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CR 10	Ensuring that the sustainability and transformation partnership (STP) reaches a satisfactory agreement between all the partners.	<p>Description Slough needs to deliver a sustainable Health & Care system</p> <p>There are 13 partners on the Board including acute hospital trusts, community trusts and CCGs.</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> <p>Slough does not get enough focus to deliver what it needs to..</p>	I = 3 L = 4 12	<p>A voting member of the board</p> <p>Reports are sent to the Wellbeing board and to Scrutiny Panel</p> <p>There is a Wellbeing Board alliance</p>	I = 3 L = 3 9	<p>Working out KPI metrics and financial control total</p> <p>Person Responsible: Alan Sinclair</p> <p>To be implemented by: 28 Sep 2018</p>	I = 2 L = 3 6
CR 18	Failure to Implement SEND Reform	<p>Description The Council has a statutory duty to implement Children & Families Act 2014 reforms to SEND by April 2018</p> <p>The Council will be inspected within the next three years</p> <p>Consequence Failure to do so may result in Government intervention</p> <p>A poor inspection would damage the reputation of the Council</p>	I = 4 L = 5 20	<p>Recruited a Service lead for SEND for better integration with the Council</p> <p>Regular review and monitoring at Children's Learning & Skills Management team</p> <p>SEND Partnership Board</p> <p>There is a permanent SEND team now within the Council.</p>	I = 3 L = 4 12	<p>Person Responsible:</p> <p>To be implemented by:</p>	I = 3 L = 3 9

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Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
CR 5	Failure to ensure the Town Centre redevelopment, backed by external investors, is completed in as short a timescale as possible.	<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>In the short term SBC have to ensure the short term viability of the Town Centre</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>	I = 4 L = 4 16	<p>Discussions and negotiations with investors has started (single point of contact)</p> <p>Internal Town Centre Project Board</p>	I = 4 L = 3 12	<p>Ensure that the Planning Performance Agreement is established and is fully resourced</p> <p>Person Responsible: Sanjay Dhuna To be implemented by: 30 Jun 2018</p> <p>Establish a relationship with Ardia through a project board</p> <p>Person Responsible: Joe Carter To be implemented by: 30 Jun 2018</p> <p>Need to develop a program/strategy for attracting short term investment</p> <p>Person Responsible: Joe Carter To be implemented by: 30 Jun 2018</p>	I = 3 L = 3 9
CR 11	Ensuring the Council's internal control environment is fit for future.	<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 can result in decisions being made without a firm policy footing or decisions being..</p> <p>Consequence The Council is therefore at greater risk of being challenged or making a poor decision with sub optimal outcomes.</p>	I = 3 L = 5 15	<p>Reviewed Code of Conduct for 2018</p> <p>Reviewed Constitution</p> <p>RSM Internal Audit provides assurance Implementation of Agresso has increased controls</p> <p>Updated financial procedure rules</p>	I = 3 L = 3 9	<p>Complete the review of HR policies under the new structure</p> <p>Person Responsible: Surjit Nagra To be implemented by: 31 Mar 2018</p>	I = 2 L = 2 4

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Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
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..</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>	I = 3 L = 5 15	<p>Dedicated Procurement team</p> <p>Internal Procurement and tender regulations in Constitution</p>	I = 3 L = 3 9	<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 thereafter</p> <p>Person Responsible: Sushil Thobhani To be implemented by: 31 Jul 2018</p> <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: Sushil Thobhani To be implemented by: 31 Jul 2018</p>	I = 2 L = 3 6

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CR 3	Failure to ensure that the Council meets its statutory service requirements in homeless, re-housing and emergency housing as well as compliance with health and safety regulations [Fire].	<p>Description The Council has statutory responsibility to provide accommodation for the homeless and adequate housing 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 and poses a safeguarding..</p> <p>Consequence Failure to manage these properties could mean a failure to its corporate objectives and the Council's statutory obligations including health and safety, in particular, fire.</p> <p>Reputational Damage</p>	I = 4 L = 5 20	<p>2018/19 Budget approved additional funding for the expansion of James Elliman Housing</p> <p>A group has been set up to look specifically at high rise properties</p> <p>Contracts have been strengthened with respect to contractor's health and safety responsibilities</p> <p>Corporate health and safety board.</p> <p>Homeless Prevention Board</p> <p>The risk of homelessness is being monitored.</p>	I = 3 L = 4 12	<p>Putting place Homelessness Prevention strategy aimed at trying to contain homelessness and containing the financial impact upon the authority</p> <p>Person Responsible: Colin Moone To be implemented by: 31 Mar 2018</p> <p>Building compliance project that brings together various strands or the organisation to firstly discover if there any gaps in building/environmental compliance.</p> <p>RSM currently undertaking the review</p> <p>The first deliverable of this project will be the results of a review of the compliance system</p> <p>Person Responsible: Joe Carter To be implemented by: 31 Mar 2018</p> <p>Ensure the sufficient resourcing for the expansion of James Elliman Homes</p> <p>Person Responsible: Mike England To be implemented by: 31 Mar 2018</p>	I = 3 L = 3 9
CR 6	There is a risk that the processes for bringing Environmental Services back in house are inefficient and ineffective making the transition difficult. Failure to ensure Environmental services operate to the standard expected by the Council.	<p>Description Failure to run a value for money operation and exploit commercial opportunities</p> <p>Failure to understand 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</p>	I = 3 L = 5 15	<p>Analyse costs and assess value for money</p> <p>Brought in commercial expertise</p> <p>Call off contract with Agency in case of staff shortages or strikes.</p> <p>New Fleet purchased</p> <p>TUPE transfer of staff including experienced staff and managers.</p>	I = 3 L = 3 9	<p>Construct a system of monitoring service delivery including Key performance indicators</p> <p>Person Responsible: Richard West To be implemented by: 31 Mar 2018</p>	I = 3 L = 2 6

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CR 15	Managing External Contractors	<p>Description Failure to manage external contractors</p> <p>Consequence The Council has ultimate responsibility for contractor risks and a contractors financial failure or over commitment of resources may result in the Council's services not being delivered or reputational damage due to poor health and safety practices or poor quality of work</p>	I = 4 L = 3 12	Client and Compliance Teams	I = 4 L = 1 4	<p>Undertake repeated financial due diligence at regular intervals</p> <p>Person Responsible: Barry Stratfull</p> <p>To be implemented by: 31 Mar 2018</p>	I = 3 L = 1 3
				Employee Skills Committee			
				Financial Due Diligence			
				Financial Procedure Rules/Procurement Rules			
				Overview and Scrutiny Panel Neighbourhood Panels			
				Performance Monitoring Reports			
				Regular internal audits			
Robust contracts							
CR 14	Failure to ensure that the Council has adequate permanent staff with the skills required to meet their corporate objectives.	<p>Description The Council has relied on a high number of long-term agency staff to carry out its functions because of role vacancies. The organisational restructuring alongside developing initiative provides the opportunity to recruit staff into roles</p> <p>Consequence Failure to develop the workforce and retain staff will mean the Council does not have the required skills to meet its corporate objectives</p>	I = 3 L = 3 9	Employment Appeals Committee Monitoring data	I = 2 L = 2 4	<p>Produce Business to set up academy to develop our own staff of the future</p> <p>Person Responsible: Surjit Nagra</p> <p>To be implemented by: 31 Oct 2018</p>	I = 2 L = 2 4
				Invested in the Slough Academy for difficult to fill posts			
				Restructured Adult Social Care			
				Working with Matrix regarding the longevity of Agency staff.			

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CR 8	Ensuring the effectiveness of resilience plans/continuity plans for key locations and services.	<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>	I = 4 L = 6 24	Dedicated Business Continuity Officer	I = 4 L = 5 20	To conclude the delivery programme for implementing Business Continuity Management throughout the authority Person Responsible: Joe Carter To be implemented by: 30 Jun 2018	I = 2 L = 3 6
				External assistance to help develop the plan		The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level Person Responsible: Joe Carter To be implemented by: 30 Jun 2018	
						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 Person Responsible: Joe Carter To be implemented by: 30 Jun 2018	