




SBC Corporate Risk Register

Report Date	04 Dec 2018
Risk Status	Open
Comparison Date	In the past 3 Month(s)
Risk Level	
Control Status	Existing
Action Status	Outstanding


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Risk Ref	Risk Title	Risk Owner	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
SD 5	Overspend on the High Needs Block related to demographic pressures and structural budget issues	Vikram Hansrani	<p>Description Overspend on HNB related to demographic pressures and structural budget issues</p> <p>Consequence Cumulative pressures pose a significant financial risk to the</p>	I = 4 L = 6 24	<p>1) Ensure financial recording of placements for all CYP is an intrinsic part of SEND Officers' caseload.</p> <p>2) Ensure provision is fully utilised with the local authority.</p>	I = 3 L = 4 12	<p>1) Consider funding EYIF from EYs Block</p> <p>2) Strengthen transition for CYP with EHCPs post 16 to mitigate a high % of 19+ students in FE</p> <p>3) Work with post-16 settings to deliver an appropriate curriculum within agreed financial envelope.</p> <p>4) Complete reviews of RBs and SEND banding</p> <p>5) Work with Arbour Vale School and prospective provider to ensure that it is able to meet complex needs</p> <p>Person Responsible: Vikram Hansrani</p> <p>To be implemented by: 31 Mar 2019</p>	I = 3 L = 2 6
CR 4	Inability to manage the urban regeneration projects such that they deliver a quality product on time and to budget	Stephen Gibson	<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 sufficient officer capacity with the right skill base</p> <p>Person Responsible: Stephen Gibson</p> <p>To be implemented by: 31 Jul 2018</p> <p>Ensure that there is sufficient budget available Budget not finalised but know income expectations.</p> <p>Person Responsible: Stephen Gibson</p> <p>To be implemented by: 29 Mar 2019</p>	I = 3 L = 2 6




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CR 2	Failure to ensure financial sustainability.	Neil Wilcox	<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 reliant on increased levels of income being generated by attracting new businesses to the area. There 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 Urban Regeneration programme is likely to produce an extended period of lower than expected income which..</p>	I = 4 L = 4 16 	Assessment of the impact of Brexit on Council finances Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management External experts used to carry out financial analysis. 5 Year Plan in place Medium term financial strategy	I = 4 L = 2 8 	Person Responsible: To be implemented by:	I = 4 L = 2 8 

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CR 19	Failure of Children's Social Care	Cate Duffy	<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 = 4 16 	Improvement Board Joint Parenting Panel Reporting to Cabinet Reporting to Education and Children's Scrutiny Review of governance by external improvement partner Review of KPI for Improvement Board, Updated improvement Plan	I = 3 L = 4 12 = =	Person Responsible: To be implemented by:	I = 3 L = 3 9 = =

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35	arvato Contract - Re-provision	Vijay McGuire	<p>Description In the event of a potential re-provision programme to replace existing contract there is a need to undertake appropriate Options appraisal / Planning and review the existing contract provision in preparation</p> <p>The two members of staff that currently monitor the avato contract are having to be replaced.</p> <p>The contract has to finish in in 2022,</p> <p>Consequence May result in loss of efficiencies / saving opportunities</p> <p>Poor procurement of a significant contract containing high risk council services</p> <p>Reputational damage</p>	I = 4 L = 4 16 	<p>Early engagement of RSM to provide an outline option appraisal approach for the councils consideration</p> <p>Early member engagement to seek steer / delegated authority to undertake robust option</p> <p>Reviewing contractual position</p> <p>Senior leadership / CMT / slt - Fully aware of the tight timescales and resource implications to support this programme of work that will require extensive council wide /</p>	I = 3 L = 3 9 	<p>Appropriate mechanisms in place for exit of existing contract arrangements - and programme in place of when this will commence</p> <p>Person Responsible: Vijay McGuire To be implemented by: 31 Mar 2019</p> <p>Sufficient resource to be deployed at earliest opportunity to take responsibility for leading this programme of work</p> <p>Person Responsible: Vijay McGuire To be implemented by: 31 Mar 2019</p> <p>Looking at consequences of HQ move</p> <p>Person Responsible: Vijay McGuire To be implemented by: 31 Mar 2019</p> <p>Reviewing exit strategy with Simon Pallet</p> <p>Person Responsible: Vijay McGuire To be implemented by: 31 Mar 2019</p>	I = 3 L = 1 3 




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CR 10	Ensuring that the sustainability and transformation partnership (STP) reaches a satisfactory agreement between all the partners.	Alan Sinclair	<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 deliver</p>	<p>I = 3 L = 4 12</p> <p>=</p>	<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>	<p>I = 2 L = 3 6</p> <p>↓</p>	<p>Person Responsible:</p> <p>To be implemented by:</p>	<p>I = 2 L = 3 6</p> <p>=</p>




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CR 5	Failure to ensure the Town Centre redevelopment, backed by external investors, is completed in as short a timescale as possible.	Stephen Gibson	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.	I = 4 L = 4 16 = =	Discussions and negotiations with investors has started (single point of contact)	I = 4 L = 3 12 = =	Ensure that the Planning Performance Agreement is established and is fully resourced	I = 3 L = 3 9 = =
			In the short term SBC have to ensure the short term viability of the Town Centre		Internal Town Centre Project Board		Person Responsible: Sanjay Dhuna To be implemented by: 30 Jun 2018	
			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				Establish a relationship with Ardia through a project board Person Responsible: Stephen Gibson To be implemented by: 28 Sep 2018 Need to develop a program/strategy for attracting short term investment Person Responsible: Stephen Gibson To be implemented by: 28 Sep 2018	

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CR 11	Ensuring the Council's internal control environment is fit for future.	Neil Wilcox	<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 made often late or without sufficient due process etc. This is applicable to both officers and..</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 	Reviewed Code of Conduct for 2018 Reviewed Constitution RSM Internal Audit provides assurance Implementation of Agresso has increased controls There is a programme of reviewing HR policies Updated financial procedure rules	I = 3 L = 3 9 	Complete the review of the constitution. Person Responsible: Sushil Thobhani To be implemented by: 31 May 2019	I = 2 L = 2 4 




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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.	Neil Wilcox	<p>Description</p> <p>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>I = 3 L = 5 15</p> 	Dedicated Procurement team	<p>I = 3 L = 3 9</p> 	<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</p> <p>To be implemented by: 31 Mar 2019</p>	<p>I = 2 L = 3 6</p> 
			<p>Consequence</p> <p>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>		Internal Procurement and tender regulations in Constitution		<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 contracts</p> <p>Person Responsible: Sushil Thobhani</p> <p>To be implemented by: 31 Mar 2019</p>	

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							<p>The Corporate Procurement Rules will be reviewed and updated to ensure it is reflective of current legislation and thresholds. The amendments will then be either approved by Council as part of the 2017 annual review of the Constitution or presented to the Constitution</p> <p>Person Responsible: Sushil Thobhani</p> <p>To be implemented by: 31 May 2019</p>	

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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].	Colin Moone	<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 risk.</p> <p>The Council owns 7,000 residential properties of mixed age dating back to the 1950s and of mixed..</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</p> <p>To be implemented by: 31 Jan 2019</p> <p>Ensure the sufficient resourcing for the expansion of James Elliman Homes</p> <p>Person Responsible: Colin Moone</p> <p>To be implemented by: 31 Jan 2019</p> <p>Building compliance project RSM review</p> <p>The first deliverable of this project will be the results of a review of the compliance system</p> <p>Person Responsible: Colin Moone</p> <p>To be implemented by: 31 Mar 2019</p>	I = 3 L = 3 9 

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CR 14	Failure to ensure that the Council has adequate permanent staff with the skills required to meet their corporate objectives.	Surjit Nagra	<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</p>	I = 3 L = 3 9 =	Appointed a team to manage the Slough Academy Employment Appeals Committee Monitoring data Invested in the Slough Academy for difficult to fill posts Restructured Adult Social Care Working with Matrix regarding the longevity of Agency staff.	I = 2 L = 3 6 ↑	Person Responsible: To be implemented by:	I = 2 L = 3 6 ↑

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CR 8	Ensuring the effectiveness of resilience plans/continuity plans for key locations and services.	Dean Trussler	<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	<p>Dedicated Business Continuity Officer</p> <p>External assistance to help develop the plan</p>	I = 4 L = 5 20	<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: Dean Trussler To be implemented by: 28 Sep 2018</p> <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: Dean Trussler To be implemented by: 28 Sep 2018</p> <p>To conclude the delivery programme for implementing Business Continuity Management throughout the authority</p> <p>Person Responsible: Dean Trussler To be implemented by: 29 Mar 2019</p>	I = 2 L = 3 6