Corporate Risk Register

JCAD RISK

11 June, 2015

Risk Ref	Risk	Cause	Effect	Initial Risk Rating	Control	Current Risk Rating	Action	Target Risk Rating
ORG0033	Financial risks of working with Strategic Partners	The Council works with many key strategic partners all of whom have their own agendas and limited access to budgets	Lack of joined up working, leading to greater inefficiencies Lack of assistance and co-operation between public bodies and the Council increases public service risks	12 - High	Better Care Fund agreed. Fund allocation agreed Contingency identified in case target for hospital admissions not met Council to "host" pooled budgets, but risks lay with project owners, (NHS) 12 separate projects to remove clients from hospitals Reports to Wellbeing Board and to Cabinet Ensuring representation on key boards e.g. Wellbeing Board Utilising joint funding opportunities wherever possible	9 - High	**Pooled budget to be signed off** Alan Sinclair 29/05/2015	4 - Low

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ORG0021	Failure to Deliver Balanced Budget	Overspending in Children's Social Care. Failure to manage key outsourced contracts such as Amey, avarto and Cambridge Education Inappropriate budgetary monitoring Failure to manage the cost of projects	Qualified external audit opinion Increased Central Government pressure Damage to reputation	18 - Very High	The use of a timetable to produce both management information which is reported throughout the organisation and also to budget holders. A timetable has been produced and communicated to relevant staff, and is being complied with; The accurateness of budgetary information reported to management; 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; The involvement of Budget Holders in regular reviews of financial performance and how the Finance Team liaise with Budget Holders to validate information, identify reasoning for poor performance and develop remedial actions where necessary; Whether a programme of training has been established for Budget Holders across the	12 - High	CSC budget board reviewing all key spending areas with plans produced for mitigating spend levels in medium term with clear actions to be taken by management.	8 - Medium

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					organisation; The appropriateness of budget virements completed in 2014/15 and whether these are compliant with Financial Procedure Rules; · The consistency in the message and information reported to Directorate meetings and CMT; · The establishment of a dedicated savings programme which has received approval at an appropriate level of Senior Management; 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. 2014/15 Budgetary Control Audit Report = Amber/Green Balanced MTFS with identified savings areas over the life of the strategy Regular report of savings plans to			

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					Cabinet			
ORG0031	Detrimental impact on Finance and Resources due to demographic change	Transient nature of Slough's population means it is difficult to predict the level of services and amenities required.	Pressure on services offered by the Council Increased demand for waste disposal Increased demand for school places Possible rise in extremism	9 - High	Waste Strategy to deal with current levels and increases in waste disposal Benefits caseloads monitoring Housing Performance Information	9 - High	**Creation of Free schools** Jane Wood **Reprocurement to be led by Waste Strategy & Contracts Manager to incorporate issues identified. To commence after sign off on Waste strategy** Nick Hannon 31/07/2015	6 - Medium
ORG0035	Failure to protect adult social care users from physical, emotional or financial abuse	Poorly trained staff or lack of training for staff provided by agencies Lack of robust multi-agency policies and procedures that are in line with national guidance, and no checks that these are being followed. The Care Act place new responsibilities with regard to Safeguarding Lack of resource to undertake the work to identify and protect vulnerable adults at risk. Lack of engagement and involvement with agencies such as the NHS, Police and Voluntary Sector organisations Poor Quality commissioning of services. Lack of monitoring of Personal Budgets provided to service users	Damage to reputation. Criticism from regulatory bodies such as the Care Quality Commission	12 - High	Business Plan for 2015/16 with 10 objectives Safeguarding Board reviews business plan Care Governance Group, which includes the NHS assess 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	6 - Medium	**Safeguarding Action Plan** Alan Sinclair 31/10/2014	6 - Medium

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ORG0042	Failure to maintain a minimum level of service	Lack of Business Continuity Plans and effective communication to all staff. No dedicated resource for Business Continuity Management. Lack of business premises in the event of an incident. Lack of staff to manage the Business Continuity Management. Lack of access to key systems.	The Council or its outsourced contractors are unable to provide an expected level of service. Negative publicity and possibly to put vulnerable service users at risk Appropriate and timely responses to incidents such as RTA's, flooding etc are not anteed	12 - High	A Business Continuity Working group has been set up with representatives of all departments. This group is used to inform the plans. 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 All BIA's have been reviewed. Key service criteria been established for IT and accommodation, key suppliers identified We have shared our plans with Avarto	9 - High	**Identification of realistic Recovery time Objectives** Simon Pallett 31/03/2015 **Implementation of Disaster recovery Capacity** Simon Pallett 31/03/2016 **2015/16 Internal Audit on Business Continuity** Chris Rising 30/10/2015	8 - Medium

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ORG0043	Lack of robust and effective communication and IT facilities	Obsolete IT programs still in use. Lack of a Council IT strategy. Comprehensive Disaster Recovery Plan is not in place for all IT systems and associated programs. 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. 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.	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	Mandatory Information Security E-Learning module completed by all staff (SBC & avarto) and Members and includes an annual refresher 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. The IT Strategy (incorporating IT Governance) was approved by CMT. There is a draft 2015-2018 Strategy that as reported to CMT in Jan 2015 IT Governance Board reviews, prioritises and control the size of the program Responsibility for delivery of service to avarto ensuring required service is fully defined and KPIs set to measure performance. Key policies updated and distributed Governance Board now created	9 - High	**Bid for additional fixed term resource to tide over period of high transformational activity** Simon Pallett 29/05/2015 **New ERP solution being procured.** Simon Pallett 31/03/2016 **New Risk Management Software being procured.** Phil Brown 30/06/2015 **Large SAN as Phase 2 avarto project** Simon Pallett 31/03/2015 **Council policies to be finalised and distributed to staff after approval from Info Governance Board.** Simon Pallett 31/03/2015 **IT Technical Strategy to be reviewed and agreed with avarto** Simon Pallett 31/03/2015 **Key Performance Indicators, for service area to be baselined 1st year. Monitoring tools to be implemented as phase 2 activity** Simon Pallett 31/03/2015 **Procurement process initiated. In process of evaluating tenders.** Simon Pallett 29/05/2015	6 - Medium

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					Interim SAN now commissioned and implemented			
ORG0037	Failure to Adopt Legislation	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

Impact of Governments reforms to Adult Social Care through Care Act 2014 and through the direction of the Better Care Fund | 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
It could also lead to increased levels of Housing Rent debt as benefit is paid to the claimant rather than the landlord.
The reforms may also lead to London Borough's placing homeless people in Slough, thus reducing the capacity for Slough's own homeless persons, an increase in bed and Breakfast accommodation costs, and overcrowding in cheaper but smaller properties.
There is thought to be an increased risk of fraud with the introduction of the universal credit IT system
Increased pressure on the Welfare Rights section.
Increased number of social care users and associated costs to the Council | 12 - High | Pro Active measure by Welfare Unit

Influencing the use of the Better Care Fund through working with partners

Modelling the impact of the care Act on the social care services | 8 - Medium | | 8 - Medium |

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ORG0039	Failure to manage major contracts to obtain expected outcomes	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 Lack of experienced contract managers No AD for Contract Management	Financial overspends Poor performance by contractors Lack of quality in relation to services provided Increased possibility of fraud and corruption	12 - High	Actions identified from previous internal audit reports have been implemented, improving the control framework. Dedicated contract managers in place for Council's main contracts. Copies of all major contracts held in electronic and hard copy KPIs in place for major contracts. Director has regular meetings with Contract Managers Contract Management training provide by LG Futures	8 - Medium	**Recruit an Assistant Director** Roger Parkin 31/07/2015	6 - Medium

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ORG0040	Failure to manage transition of Children's Services	Lack of leadership. Failure to adequately manage the transfer of budgets, staff, and contracts. Uncertainty over the new structure Poor relationships with New Organisations advisers	Greater pressure is put on all other Council services through having to make higher levels of saving on a much lower overall budget base The Council loses control over the delivery of this service. The council will need to re-organise its support services as these may also be transferred; this could lead to less resilience There is a strong possibility that once the service is delivered by a third party it may be a long time before it comes back "in-house" The transfer may be complicated by the fact that parts of the wider children's service provision has been outsourced to Cambridge Education In the time of the actual transfer the delivery of the service may suffer due to loss of staff and staff morale. Reputational damage to Council, Members, and staff There is also an issue around the ability to meet the Transfer date of September 2015 Issues around transfer of confidential data, ability of new organisation to attract staff, willingness of SBC to contract with new organisation	24 - Very High	Transition Project led by Strategic Director of Customer and Community Services.

The Transition Board has a detailed risk register

Reports to Overview and Scrutiny February 2015

Memorandum of understanding established to help mitigate risks

The cost of "back-filling" posts will be met by Secretary of State

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. 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 project. | 15 - Very High | **Negations with existing Third Party contractors regarding novation of contracts**

Amardip Healy   30/09/2015

Provisional budget by 3/15 Final Budget agreed

Joseph Holmes   30/09/2015

Finance model to test viability of new org and sustainability of Council

Joseph Holmes   30/09/2015

Assess the impact of the residual Council Services

Roger Parkin   30/06/2015 | 15 - Very High |

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					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** CMT Members 31/03/2015 **Assess the capacity for both normal operations and carrying key organisational change initiatives** CMT Members 31/03/2015	12 - High