

Appendix 4 SBC Risk Register

Report Date	04 Dec 2017
Risk Area	1. Corporate Risks

SBC Risk Register

Risk Ref	Risk Title	5 Year Plan Outcomes	Description & Consequence	Inherent Risk Priority	Risk Control	Control Status	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	Slough will be an attractive place where people choose to live, work and visit	<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 = 3 L = 5 15	Created a Directorate for Regeneration Asset Master	Existing	I = 3 L = 4 12	Ensure that there is sufficient budget available Person Responsible: Joe Carter To be implemented by: 31 Mar 2017	I = 2 L = 3 6
					External advisors used for legal and technical advice	Existing		Ensure that SBC has proper representation on SUR board Person Responsible: Joe Carter To be implemented by: 31 Mar 2018	
					Monitoring reports go to Cabinet & Members	Existing			
					Terms of reference and governance around SUR contracts	Existing			

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CR 2	Failure to ensure financial sustainability.	All 5 year plan outcomes	<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	Assessment of the impact of Brexit on Council finances	Existing	I = 4 L = 2 8	<p>Review current controls on a quarterly basis and report to Cabinet</p> <p>Person Responsible: Barry Stratfull</p> <p>To be implemented by: 31 Jan 2018</p>	I = 4 L = 2 8
					Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management Teams	Existing			
					External experts used to carry out financial analysis. 5 Year Plan in place	Existing			
					Medium term financial strategy	Existing			

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CR 1	Recruiting, retaining and stabilising the senior management team.	All 5 year plan outcomes	<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..</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 = 4 L = 5 20	Corporate Management Team that leads the Council	Existing	I = 4 L = 4 16	<p>Once consultation is complete implement new structure will need to be implemented</p> <p>Person Responsible: Surjit Nagra</p> <p>To be implemented by: 31 Dec 2017</p>	I = 4 L = 2 8
CR 19	Failure of Children's Social Care	Our children and young people will have the best start in life and opportunities to give them positive lives	<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>	<p>Existing</p> <p>Existing</p> <p>Existing</p> <p>Existing</p>	I = 3 L = 5 15	<p>Review of KPI for Improvement Board,</p> <p>Person Responsible: Cate Duffy</p> <p>To be implemented by: 31 Dec 2017</p> <p>Review of governance by external improvement partner</p> <p>Person Responsible: Cate Duffy</p> <p>To be implemented by: 31 Dec 2017</p> <p>Updated improvement Plan</p> <p>Person Responsible: Cate Duffy</p> <p>To be implemented by: 31 Dec 2017</p>	I = 3 L = 4 12

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CR 16	Ensuring that the Council meets its statutory duties with regards to school provision	Our children and young people will have the best start in life and opportunities to give them positive lives	<p>Description 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 has limited space in the Borough to build more schools</p>	I = 4 L = 5 20	Capital Strategy Board	Existing	I = 4 L = 4 16	Strategy to Cabinet Person Responsible: Cate Duffy To be implemented by: 28 Feb 2018	I = 4 L = 3 12
					Oversight by Cabinet and Overview and Scrutiny	Existing			
					Place Planning Board	Existing			
CR 10	Ensuring that the sustainability and transformation partnership (STP) reaches a satisfactory agreement between all the partners.	Our people will become healthier and will manage their own healthcare and support needs	<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</p>	I = 3 L = 4 12	A voting member of the board	Existing	I = 3 L = 3 9	The new Cabinet lead will need to be inducted and supported. Person Responsible: Alan Sinclair To be implemented by: 31 Jan 2018	I = 2 L = 3 6
					Reports are sent to the Wellbeing board and to Scrutiny Panel	Existing		Working out KPI metrics and financial control total Person Responsible: Alan Sinclair To be implemented by: 31 Mar 2018	
					There is a Wellbeing Board alliance	Existing			

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CR 18	Failure to Implement SEND Reform	Our children and young people will have the best start in life and opportunities to give them positive lives	<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</p>	I = 4 L = 5 20	Recruited a Service lead for SEND for better integration with the Council	Existing	I = 3 L = 5 15	Additional resources for SEND Person Responsible: Cate Duffy To be implemented by: 31 Dec 2017	I = 3 L = 4 12
					Regular review and monitoring at Children's Learning & Skills Management team	Existing		Establishment of SEND Partnership Board Person Responsible: Cate Duffy To be implemented by: 31 Dec 2017	
					SEND has been returned to Council	Existing		Creation of SEND Strategy with partners Person Responsible: Cate Duffy To be implemented by: 28 Feb 2018	
CR 5	Failure to ensure the Town Centre redevelopment, backed by external investors, is completed in as short a timescale as possible.	Slough will attract, retain and grow businesses and investment to provide jobs and opportunities for our residents	<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	Discussions and negotiations with investors has started (single point of contact)	Existing	I = 4 L = 4 16	Establish a relationship with Ardia through a project board Person Responsible: Joe Carter To be implemented by: 31 Mar 2018	I = 3 L = 3 9
								Need to develop a program/strategy for attracting short term investment Person Responsible: Joe Carter To be implemented by: 31 Mar 2018	
								Ensure that the Planning Performance Agreement is established and is fully resourced Person Responsible: Sanjay Dhuna To be implemented by: 31 Mar 2018	

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CR 11	Ensuring the Council's internal control environment is fit for future.	All 5 year plan outcomes	<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</p>	I = 3 L = 5 15	Reviewed Code of Conduct	Existing	I = 3 L = 3 9	Complete the review of HR policies under the new structure Person Responsible: Surjit Nagra To be implemented by: 31 Mar 2018	I = 2 L = 2 4
					Reviewed Constitution	Existing		Complete the review of the constitution. Person Responsible: Sushil Thobhani To be implemented by: 31 Mar 2018	
					RSM Internal Audit provides assurance Implementation of Agresso has increased	Existing		Complete the review of the code of conduct Person Responsible: Sushil Thobhani To be implemented by: 31 Mar 2018	
					Updated financial procedure rules	Existing			
CR 17	The Effects on the Council of political Instability	All 5 year plan outcomes	<p>Description The political instability of the Council hampers the effectiveness of the Council</p> <p>Consequence Senior Management resources diverted into dealing with issues that arise from the political situation. Decisions and important information reports are being delayed Possible intervention from Central Government</p>	I = 4 L = 5 20	To be decided	Existing	I = 4 L = 5 20	To Be decided Person Responsible: Roger Parkin To be implemented by: 31 Jan 2018	I = 4 L = 5 20

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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.	All 5 year plan outcomes	<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>	I = 3 L = 5 15	Dedicated Procurement team	Existing	I = 3 L = 3 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: Sushil Thobhani To be implemented by: 31 Dec 2017</p>	I = 2 L = 3 6
			<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>		Internal Procurement and tender regulations in Constitution	Existing		<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 Panel for approval</p> <p>Person Responsible: Sushil Thobhani To be implemented by: 31 Dec 2017</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 To be implemented by: 31 Mar 2018</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].	Our residents will have access to good quality homes	<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	A group has been set up to look specifically at high rise properties	Existing	I = 3 L = 4 12	Building compliance project that reports to the Health & Safety Board. this is aimed at the dealing with the high risk H&S items Person Responsible: Mike England To be implemented by: 31 Mar 2018	I = 3 L = 3 9
					Contracts have been strengthened with respect to contractor's health and safety responsibilities	Existing		Putting place Homelessness Prevention strategy aimed at trying to contain homelessness and containing the financial impact upon the authority Person Responsible: Colin Moone To be implemented by: 31 Mar 2018	
					Corporate health and safety board.	Existing			
					Homeless Prevention Board	Existing			
					The risk of homelessness is being monitored.	Existing			

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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.	All 5 year plan outcomes	<p>Description Environmental services have been run by external organisations for the last few years.</p> <p>Consequence 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 once..</p>	I = 3 L = 5 15	Call off contract with Agency in case of staff shortages or strikes.	Existing	I = 3 L = 3 9	Embedding new staff into the organisation including line management structure Person Responsible: Mike England To be implemented by: 31 Jan 2018	I = 3 L = 2 6
					New Fleet purchased	Existing		Construct a system of monitoring service delivery including Key performance indicators Person Responsible: Mike England To be implemented by: 31 Jan 2018	
					TUPE transfer of staff including experienced staff and managers.	Existing			
					Working Group has been set up to manage mobilisation (Chaired by CEO).	Existing			

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CR 15	Managing External Contractors	All 5 year plan outcomes	<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	Existing	I = 4 L = 1 4	Undertake repeated financial due diligence at regular intervals Person Responsible: Barry Stratfull To be implemented by: 31 Mar 2018	I = 3 L = 1 3
					Employee Skills Committee	Existing			
					Financial Due Diligence	Existing			
					Financial Procedure Rules/Procurement Rules	Existing			
					Overview and Scrutiny Panel Neighbourhood Panels	Existing			
					Performance Monitoring Reports	Existing			
					Regular internal	Existing			
					Robust contracts	Existing			

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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.	All 5 year plan outcomes	<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	Existing	I = 2 L = 2 4	<p>Develop initiatives to reduce this risk</p> <p>Person Responsible: Surjit Nagra</p> <p>To be implemented by: 31 Dec 2017</p>	I = 2 L = 2 4
					Invested in the Slough Academy for difficult to fill posts	Existing			
					Restructured Adult Social Care	Existing			
					Working with Matrix regarding the longevity of Agency staff.	Existing			
CR 8	Ensuring the effectiveness of resilience plans/ continuity plans for key locations and services.	All 5 year plan outcomes	<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	Existing	I = 4 L = 5 20	<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: Joe Carter</p> <p>To be implemented by: 31 Dec 2017</p>	I = 2 L = 3 6
					External assistance to help develop the plan	Existing			

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							<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: Joe Carter</p> <p>To be implemented by: 31 Mar 2018</p>	
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