

SLOUGH BOROUGH COUNCIL

REPORT TO: Audit and Corporate Governance Committee

DATE: 1st March 2022

CONTACT OFFICER: Steven Mair, Director of Finance/Section 151 Officer
(For all Enquiries) (01753) 875368

WARD(S): All

PART I **FOR COMMENT & CONSIDERATION**

RISK MANAGEMENT UPDATE – QUARTER 4 2021/22

1 Purpose of Report

- 1.1 The purpose of this report is to report to the Audit and Corporate Governance committee on the corporate risk register with the opportunity to comment and amend it, as shown in Appendix 1
- 1.2 This is the third revision of the risk register which is being reviewed on a monthly basis. This is to ensure that the Council continues its development of a proper strategic risk register.

2 Recommendations

- 2.1 This report recommends that the Audit and Corporate Governance Committee notes the revisions to the risk register and comments on the report.

The Slough Joint Wellbeing Strategy, the JSNA and the Five Year Plan

3a. Slough Joint Wellbeing Strategy Priorities –

The actions contained within the attached reports are designed to improve the governance of the organisation and will contribute to all of the emerging Community Strategy Priorities

3b. Five Year Plan Outcomes

The actions contained within this report will assist in achieving all of the five year plan outcomes

4. Other Implications

(a) Financial

There are no direct financial implications of the updates on the actions but resolution of the queries/issues will improve the Council's processes which

underpins sound financial management, by way of example the Council's accounts and budget

(b) Risk Management

Risk	RAG Before Mitigation	Mitigation	RAG After Mitigation
<p>Failure to operate an adequate strategic risk register exposes the Council to risk across a wide variety of services because:</p> <p>Risks are not identified</p> <p>Actions are not planned and progress reported</p> <p>Members are not made aware of the serious risks facing the Council</p>	Red	<p>Pro active officer risk and audit board</p> <p>Pro active management of the risk register</p> <p>Risk register that encompasses strategic risks with actions, milestones</p> <p>Reporting that shows trends, update on actions, impact of actions</p>	<p>Amber – to reflect the continuing work to develop management of strategic risk (currently, work over the coming months will improve this to Green)</p>

(c) Human Rights Act and Other Legal Implications

There are no Human Rights Act or other legal implications in this report

(d) Equalities Impact Assessment

There is no identified need for an EIA

5. **Supporting Information**

5.1 **Further Improvements to the Corporate Risk Register**

5.1.1 Risk management is a critical part of good governance and it is needed to effectively deliver the Council's priorities.

5.1.2 As part of the risk and audit board's continuing work to routinely review all strategic level risks, further improvements have been made to the corporate risk register.

5.1.3 Actions to further strengthen risk management processes and procedures are underway including:

- A review of the risk management strategy, which will be presented to the July committee for comment and amendment
- Review of mitigating actions
- Roll out of risk management training
- Development of departmental risk registers

5.1.4 The Corporate risk register will be reported on a quarterly basis to Corporate Leadership Team in advance of the Audit and Corporate Governance committee.

5.2 **Revised Risk Register**

5.2.1 Risks that are already on the register have been reviewed to ensure they reflect the current risks the Council is facing, a review into staff related risks has been undertaken to consider mitigating actions being taken council- wide.

5.3 **Changes to note**

5.3.1 The following risks has been reviewed by the Risk and Audit board and has been merged onto one risk:

- Risk 10: Workforce recruitment and retention
- Risk 15: Staffing Risks within Slough Borough Council and Slough Children First

5.3.2 The risk is now entitled: Service delivery risk due to workforce recruitment and retention issues.

5.3.3 The risk has been reviewed to ensure that mitigating actions span across Slough Borough Council and Slough Children First and they reflect the current actions being take through functional capability assessments and the councils recovery plans.

5.3.4 This is risk is being reviewed on a regular basis in response to the council's recovery plans

5.3.5 In addition, the following risks have been substantially reviewed:

- Risk 1: Delivery of the Adult Social Care (ASC) Transformation Programme – addition of risks regarding savings
- Risk 2: Covid Pandemic – actions associated with return to the workplace
- Risk 5: Financial sustainability, accounting, processes, commercial and other matters. This risk has been split out into three risks: Risk 5a: Financial sustainability, Risk 5b: Accounting and Risk 5c: Financial processes
- Risk 6: The Council does not take adequate mitigation to reduce the risk of injury or death from incidents within the Council – the addition of self audits as a mitigating action
- Risk 7: Elections and Electoral Registration - captures the returning officer's personal liability
- Risk 8: Recovery and Renewal Plan – captures current actions in relation to the review of council functions
- Risk 9: Business Continuity and Emergency Planning – progress on business impact assessment work has been added as a control and training has been added as an action required to mitigate risks
- Risk 11: Special Educational Needs and Disability (SEND) Local Area Inspection – update on the Written Statement of Action (WSOA)
- Risk 12: Cyber Security- Several actions in the previous version of the risk have been implemented and now controls in place e.g. security patching and communication to staff.
- Risk 13: Information Governance and General Data Protection Regulations (GDPR) – The update to the Information Governance policy has been added as a control
- Risk 14: Council companies - Current controls and actions required have been expanded to reflect the work currently being undertaken on the companies

6 Comments of Other Committees

6.1 There are no comments from other Committees

7. **Conclusion**

7.1 Members note the report

8. **Appendices Attached**

Appendix A – Corporate Risk Register

9. **Background Papers**

None