

SLOUGH BOROUGH COUNCIL

REPORT TO: Audit and Corporate Governance Committee

DATE: 28th July 2022

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WARD(S): All

PART I FOR COMMENT & CONSIDERATION

RISK MANAGEMENT UPDATE – QUARTER 1 2022/23

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 fourth revision of the risk register which is being reviewed on a monthly basis. This is to ensure that the Council maintains 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.

3. 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
Failure to operate an adequate strategic risk register exposes the Council to	Red	Pro active officer risk and audit board	Amber – to reflect the continuing work to develop

<p>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>		<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>management of strategic risk (currently, work over the coming months will improve this to Green)</p>
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(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

4. Supporting Information

4.1. Further Improvements to the Corporate Risk Register

- 4.1.1. Risk management is a critical part of good governance and it is needed to effectively deliver the Council's priorities.
- 4.1.2. 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.
- 4.1.3. Actions to further strengthen risk management processes and procedures have been completed including:
- A review of the risk management strategy, which went to July cabinet and will be presented to the July committee for comment and amendment

- Review of mitigating actions
- Roll out of risk management training to council staff and colleagues in HB law
- Completion of departmental risk registers

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

4.1.5. On a quarterly basis Corporate Leadership will run risk workshops to ensure that the key strategic risks the council faces is properly reviewed.

4.2. **Revised Risk Register**

4.2.1. 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.

4.3. **Changes to note**

4.3.1. The format of the register has been reviewed to ensure that the mitigating actions have assigned actionees and deadlines

4.3.2. The following risks has been reviewed in depth by the Risk and Audit board to ensure the risk, controls and mitigating actions are current:

- Risks 5a, 5b, and 5C: Financial sustainability, accounting and financial processes – these were reviewed in response the action from the March committee and notes progress regarding training and the agreement of the budget on 9 March
- Risk 11: Special Educational Needs and Disability (SEND) Local Area Inspection risk - It was timely to review this risk, as it was discussed at the extraordinary Audit and Corporate governance committee on 21st April, and has since attracted some local media attention.

4.3.3. There are three new risks on the register:

- Risk 17: Cost of living/inflation – impact on residents and the local authority
- Risk 18: Failure to meet statutory service levels/new legislation requirements
- Risk 19: Slough Children First – this has been added in response to the action from the March committee

4.3.4. In addition, the following risks have been substantially reviewed:

- Risk 1: Delivery of the Adult Social Care (ASC) Transformation Programme- updated with information on client income contributions
- Risk 2: Pandemics – updated to reflect changes in personnel, end of Covid grant and return to the workplace
- Risk 3: Temporary Accommodation – referenced recruitment to vacant posts
- Risk 4: Disposal of Assets –includes update on work of assets disposals group and references need to set a balanced budget/ have long term financial sustainability
- Risk 5a: Financial sustainability –Risk of further S114 notices included and update on 23/24 financial position
- Risk 5b: Accounting – Comprehensive update on accounts closure included
- Risk 5c: Financial processes – progress on the finance action plan and business plan
- Risk 6: The Council does not take adequate mitigation to reduce the risk of injury or death from incidents within the Council –includes investigation of system for reporting accidents
- Risk 7: Elections and Electoral Registration –updated following election
- Risk 8: Recovery and Renewal Plan – update on functional capability assessments and how they are being turned into costed plans and the development of the corporate plan
- Risk 9: Business Continuity and Emergency Planning – extensive review of the risk, including description, consequences, mitigation and action deadlines
- Risk 10: Service delivery risk due to workforce recruitment and retention issues – actions updated and risks associated with statutory roles and project delivery included
- Risk 11: Special Educational Needs and Disability (SEND) Local Area Inspection – impact on council and residents updated
- Risk 12: Cyber Security – references risks associated with Ukraine conflict and ICT restructure to support this area
- Risk 13: Information Governance and General Data Protection Regulations (GDPR) – updated to reflect recruitment of DPO as part of restructure of ICT services
- Risk 14: Council Companies – Update on completion of actions, including dissolution of dormant companies
- Risk 15: Energy Costs – impact of energy cost increases updated and mitigating actions updated to include actionees and target dates

- Risk 16: Impact of the conflict in Ukraine – updated to include risks around data and current controls extensively reviewed
- Risk 17: Cost of living/inflation – impact on residents and the local authority. Update on the implementation of the household support fund and local insight - new risk see above
- Risk 18: Failure to meet statutory service levels/new legislation requirements - new risk see above
- Risk 19: Slough Children First – new risk see above

5. Comments of Other Committees

5.1. There are no comments from other Committees

6. Conclusion

6.1. Members note the report.

7. Appendices Attached

7.1. Appendix 1 – Corporate Risk Register

8. Background Papers

8.1. None