

Risk Assessment Form

Organisation/Department/Function/Project: **Slough Borough Council**

Manager: **Ruth Bagley, Chief Executive**

Date: **23 October, 2012**

Risk (Threat to achievement of business objective)	Assessment of Current Risk (Assume CURRENT controls in place)			Risk Control Measures	Assigned To	Target Date (Priority)	Assessment of Controlled Risk (With controls in place)		
	Impact	Probability	Risk Rating				Impact	Probability	Risk Rating
<p>ORG0020 - Delivery of Change Managing a mixed economy workforce, utilising a suite of contractual relationships internal, external temporary and permanent, Anticipating areas of service change and acting early to minimise compulsory redundancy.</p> <p>Significant risk associated with business failure of major supplier</p>	Medium 2	Medium 2	Medium 4	<ul style="list-style-type: none"> Workforce Planning Investigation into the business needs of the organisation and to reflect the right balance a mixed economy employer Significant criteria within all tender processes relating to financial robustness of provider <i>In Progress (30% complete)</i> Flexible working, Business continuity arrangements procurement processes <i>In Progress (30% complete)</i> 	Jaki Salisbury CMTMembers		Medium 2	Low 1	Low 2
<p>ORG0021 - Economic climate Continued Economic Instability and Turbulence at a national level.</p> <p>Comprehensive Spending Review Reduction in Income of £25million to the Council over next 4 years Reduction of service provision and services Risk of insolvency of key suppliers Risk of reducing third party capacity that increases costs to the Council</p> <p>Financial pressure on partner agencies</p>	Medium 2	Medium 2	Medium 4	<ul style="list-style-type: none"> Budget monitoring Monitoring of savings secured in current year. Management of General Reserves to retain suitable levels Monthly budget reports 4 year MTFS <i>Implemented</i> 	CMTMembers		Low 1	Low 1	Low 1

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<p>particularly the voluntary sector</p> <p>The Localism bill will accelerate the externalisation of services.</p> <p>Other external effects of the change in the Economic Climate may increase the risk of incidents of violent extremism</p>				<ul style="list-style-type: none"> • Liasion with Suppliers/Partners Working with partners to minimise effects Maintain dialogue with key suppliers to enable early intervention should the need arise. <i>In Progress (60% complete)</i> • Transformation Programmes Transformation programmes for services to reduce costs and improve service delivery <i>In Progress (0% complete)</i> • Commissioning Commission services from the voluntary sector where practicable <i>In Progress (50% complete)</i> • Localism Bill Awareness of localism bill due to be law in November 2011 and implications <i>Proposed (0% complete)</i> 	<p>CMTMembers</p> <p>CMTMembers</p> <p>CMTMembers</p> <p>CMTMembers</p>				

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<p>ORG0022 - Delivery of Change Partnerships and Governance arrangements Relationships with major partners needs to be managed</p> <p>There is a need for SBC to understand it's own risks as well as those of the Partnership</p> <p>Localism Bill due to be passed in November 2011 will encourage a mixed economy approach to local service provision accountability and governance key aspects.</p>	Medium 2	Medium 2	Medium 4	<ul style="list-style-type: none"> • Partnership Governance Preparation of Partnership Governance Toolkit including risk management. Review of current partnerships to ensure that those no longer aligned to Council's priorities are reconstituted, merged or ceased altogether. Partnership registers to be developed. New partnerships to be approved by the corporate management team and all formal partnership arrangements to be approved by cabinet. Review of voluntary sector commitments and outputs to ensure VFM and Council priorities are met Business continuity plans to be in place to cover partnerships providing critical activities. <p>Requirement for joint partnership risk register and management of risks to be identified as part of partnership agreement. Performance management and reviews processes to be established to review and evaluate partnerships. Key partnerships and</p>	Ruth Bagley		Low 1	Medium 2	Low 2

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				<p>risks to be reported to corporate management team and cabinet. <i>In Progress</i> (50% complete)</p> <ul style="list-style-type: none"> Training Annual training and development programme to be developed for officers and members. <i>In Progress</i> (0% complete) Review of LSP's Review of Local Strategic Partnerships to meet localism bill as appropriate <i>Approved</i> (0% complete) 	Ruth Bagley				
<p>ORG0023 - In House Commitment Risk Management</p> <p>Failure to manage risks in accordance with the BSI Standard for Risk management or to follow leading practice in place at other local authorities</p> <p>Failure to integrate and embed risk management within the culture of the Council</p> <p>Need for top down and bottom up with both a strategic risk register;</p>	Medium 2	Medium 2	Medium 4	<ul style="list-style-type: none"> Strategy Policy & Procedures Production of a risk framework, strategy and policy for corporate management team review and then Audit Committee. <i>Implemented</i> 	CMTMembers		Low 1	Medium 2	Low 2

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operational; project and partnership risk registers in all areas of the council.				<ul style="list-style-type: none"> • Training Provision of online risk management training for all staff Risk Management workshops to be rolled out to all senior management teams to update and improve operational risk registers <i>In Progress</i> • Risk Registers Production of a strategic risk register with corporate management team Review of strategic and operational risk registers by corporate management team <i>In Progress (60% complete)</i> 	CMTMembers				

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<p>ORG0024 - Business Continuity Risk Business Continuity</p> <p>There is no Business Continuity Management within the Council</p> <p>Loss of reputation Loss of performance Failure of Council and partners to provide services</p>	High 3	Medium 2	High 6	<ul style="list-style-type: none"> Business Continuity Management Business continuity planning to be updated in line with new structures Officer with specific responsibility to be appointed as responsible for maintaining and updating the Councils policies and procedures Further awareness training for officers on business continuity and there input to it. Review of suppliers business continuity plans to ensure continuity of supply <i>In Progress (10% complete)</i> 	CMTMembers		Medium 2	Low 1	Low 2
<p>ORG0025 - Failure in Procurement Procurement Processes - Linked with Localism Bill</p> <p>Reputational damage to Council if processes are not fair and transparent</p> <p>Failure to achieve best value.</p> <p>Fear of challenge from unsuccessful tenderers.</p> <p>Increased activity within Departments with regard to Procurement due to the</p>	Medium 2	Medium 2	Medium 4	<ul style="list-style-type: none"> Policy and Procedures Updating of Procurement Strategy and Code of Practice Development of Central Contracts Register Tender procedures to be refreshed Revision of supporting documentation and procedures for exemptions <i>In Progress (75% complete)</i> 	CMTMembers		Medium 2	Low 1	Low 2

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changing economic climate and the introduction of the Localism Bill				<ul style="list-style-type: none"> • Training Further training programme for officers <i>In Progress (20% complete)</i> • Business Continuity Planning Assess ability of key suppliers to whether current economic climate and possible implications for SBC services if such suppliers encounter financial difficulties <i>Approved (20% complete)</i> 	CMTMembers CMTMembers				

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Objective **To safeguard the young and vulnerable**

Manager: **Ruth Bagley, Chief Executive**

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<p>ORG0019 - Safe Guarding The recent Ofsted report has judged the safeguarding services and safeguarding outcomes for children and young people as inadequate and 4 of the 10 areas in outcomes as inadequate</p> <p>Failure to safeguard children Reputational risk to the Council Failure to identify high risk / problem areas prior to inspection Statutory requirements not being met.</p>	High 3	High 3	High 9	<ul style="list-style-type: none"> Production and Delivery of Recovery Plan Produce Recovery Plan to address findings particularly to improve. Quality Assurance arrangements. Management overview Challenge on casework Quality of risk assessment. Provision of resources to address issues Undertake comprehensive audit of children on threshold of risk or subject to child protection plan. Ensure assessments, agreements and need plans are reviewed and updated and updated on a timely basis. <i>In Progress (0% complete)</i> 	Jane Wood		High 3	Low 1	Medium 3

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				<ul style="list-style-type: none"> • Communication Ensure that safeguarding priorities are clearly agreed and understood between the Council and the Strategic Children's Partnership Board and reflected in the Children and Young People's Plan <i>In Progress (0% complete)</i> 	Jane Wood				