

## APPENDIX B

# Corporate Risk Register

13 November, 2014



Risk Ref	Nature of Risk	Cause	Effect	Initial Risk Rating	Control	Current Risk Rating	Action	Target Risk Rating
ORG0033	Failure of partnership working	Government Public Sector reforms Financial Pressure on various public sector services	Lack of joined up working, leading to greater inefficiencies Lack of assistance an co-operation between public bodies and the Council increases public service risks	16 - Very High	Ensuring representation on key boards e.g. Wellbeing Board Utilising joint funding opportunities wherever possible	12 - High	<b>Maximising financial benefit and managing risk through Better Care Fund</b>  Alan Sinclair	6 - Medium
ORG0021	Delivering Balanced Budgets	National Government's continued sustained reduction in public sector expenditure via Spending Review Government's funding of policy changes towards Adult Social Care and Local Economic Partnerships Government's welfare reform programme Government's reforms to Business rate retention	Continued reduction to the Council's budget leaving to increased levels of service reductions and organisational wide transformation  The requirement for balanced corporate strategy that seeks to address the needs of vulnerable individuals whilst ensuring appropriate levels of service provision for the universal services  Impact on Council Tax collection rates and / or higher take up of Council Tax Support leading to in year budget pressures Impact on achieving levels of fees and charges Reduced income due to Businesses moving away from Slough / increased level of demolitions of business buildings In year overspend leading to depletion of Council reserves and / or an increase to Council Tax the following year	20 - Very High	Requirement to set a balanced budget Regular reports to senior officers and members on the Medium Term Financial Strategy (MTFS) progress Regular in year budget monitoring to forecast the impact on general reserves Creation a 'financial volatility reserve' to buffer the impact of reduced Business Rate / Council Tax income or to re-profile savings programmes Ensuring that General Fund reserves are at least the minimum level set	15 - Very High	<b>Balanced MTFS with identified savings areas over the life of the strategy</b>  Joseph Holmes  <b>Transformation Programmes for services to reduce costs and improve service delivery</b>  Joseph Holmes  <b>Regular collection rates and income monitoring</b>  Joseph Holmes 30/01/2015	10 - High

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ORG0024	Performance Management	<p>There was an issue around the lack of Business Continuity Plans. These plans and the management of these plans are required to ensure that in the event of an "emergency" that the council and it's suppliers maintains at least a minimum of service.</p> <p>A Business Continuity Working Group has been set up and the business critical services have been identified.</p> <p>The Business Continuity Plans have been submitted to Corporate Management Team and approved</p>	The lack of a robust business continuity plan that has been communicated to all that are involved could mean that in the event of an unexpected incident the Council or it's contractors are unable to provide the required services. this would result in negative publicity and possibly put vulnerable service users at risk	12 - High	<p>Business Continuity Plans have been submitted to Corporate Management Team for approval.</p> <p>A Business Continuity Working group has been set up with representatives of all departments. This group is used to inform the plans and will continue to meet to update the plans as and when required.</p> <p>Provision of new Disaster Recovery capacity for the Council is included as a Project under the Transactional Services Phase 2 Service Improvement Plan.</p> <p>It has been provisionally costed by arvato and is funded from a capital bid</p> <p>All BIA's have been reviewed.</p> <p>Key service criteria been established for IT and accommodation, key suppliers identified</p> <p>We have shared our plans with Avarto</p>	6 - Medium	<p><b>Identification of realistic Recovery time Objectives</b> Simon Pallett 31/03/2015</p> <p><b>Implementation of Disaster recovery Capacity</b> Simon Pallett 31/03/2016</p>	6 - Medium

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ORG0031	The Financial Impact of Demographic change	<p>Demographic Change</p> <p>Many factors may affect the population of Slough and generally this leads to an increase in the resident population.</p> <p>An increase in the population puts pressure on the vast majority of the services offered by the Council</p> <p>Schools places strategy</p>	<p>Housing: increase in demand for housing including temporary housing, and increases pressure on those regulating Housing standards</p> <p>Benefits: There are more people claiming benefits via the Council</p> <p>Education: An increase in population may have the affect of skewing the estimates of population made and therefore leading to a short fall in school place.</p> <p>Waste Disposal: An increasing population leads to more demand for waste disposal</p> <p>Education: Increased demand for school places and through increased children's social care and Special Education Needs costs</p>	9 - High	Housing performance information Benefits caseloads monitoring	9 - High	<p><b>Creation of Free schools</b></p> <p>Jane Wood</p> <p><b>Re-procurement to be led by Waste Strategy &amp; Contracts Manager to incorporate issues identified. To commence after sign off on Wa</b></p> <p>Nick Hannon      31/03/2015</p>	3 - Low

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ORG0034	Loss of IT / Communication facilities	<p>Delivery of an Information and Communication Technology function that is robust and has the capacity to meet the needs of the organisation.</p> <p>There is a staff /skills capacity issue which is affecting the section's ability to respond to the Council's Transformation and Change agenda and it's ability to deliver the ongoing Information Technology programme of work.</p> <p>A full Disaster Recovery Plan is required for the Council's Information Technology systems.</p> <p>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.</p> <p>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.</p>	Information Commissioner will criticise and possibly impose fine Increased vulnerability to staff and clients damage to reputation	16 - Very High	<p>Council policies to be finalised and distributed to staff after approval from Info Governance Board.</p> <p>Mandatory Information Security E Learning module to be completed by all staff (SBC &amp; avarto) and Members With 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.</p> <p>Procurement process initiated. In process of evaluating tenders. avarto looking to provide interim solution.</p> <p>The IT Strategy (incorporating IT Governance) was approved by CMT and published on July 18th. Bid for additional fixed term resource to tide over period of high transformational activity IT Governance Board to review and prioritise and control the size of the program</p>	6 - Medium	<p><b>Council policies to be finalised and distributed to staff after approval from Info Governance Board.</b></p> <p>Roger Parkin 31/03/2015</p> <p><b>Large SAN as Phase 2 avarto project</b></p> <p>Simon Pallett 31/03/2015</p> <p><b>IT Technical Strategy to be reviewed and agreed with avarto</b></p> <p>Simon Pallett 31/03/2015</p> <p><b>Key Performance Indicators, for service area to be baselined 1st year. Monitoring tools to be implemented as phase 2 activity</b></p> <p>Simon Pallett 31/03/2015</p> <p><b>SAN to be commissioned</b></p> <p>Roger Parkin 29/08/2014</p>	2 - Low

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					<p>Transfer responsibility for delivery of service to avarto ensuring required service is fully defined and KPIs set to measure performance.</p> <p>Key policies updated and distributed Governance Board now created Interim SAN now commissioned and implemented</p>			
ORG0035	Adult Social Care Safeguarding	<p>Serious safeguarding, public protection or other failure.</p> <p>Adult Safeguarding Board is going through a period of development in order for it to provide strong governance for Safeguarding in Slough and in preparation for the incoming (draft) Care and Support Bill in which Statutory Partners will have a duty to co operate.</p> <p>In order to deliver effective safeguarding, agencies need to work within a context of agreed policies, procedures and practice and share information which informs the quality of care provision in Slough.</p>	Serious failure in safeguarding has a devastating effect on the individual and the community and undermines organisational credibility	12 - High	<p>Governance via Safeguarding Adults Board Business Plan - oversight of delivery via new Executive Group Enhanced care governance group Team put in place in 2013 to implement new ways of working.</p>	8 - Medium	<p><b>Safeguarding Action Plan</b></p> <p>Alan Sinclair 31/10/2014</p>	3 - Low

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ORG0037	Statutory & Regulatory Change	<p>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</p> <p>Impact of Governments reforms to Adult Social Care through Care Act 2014 and through the direction of the Better Care Fund</p>	<p>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.</p> <p>There is thought to be an increased risk of fraud with the introduction of the universal credit IT system</p> <p>Increased pressure on the Welfare Rights section.</p> <p>Increased number of social care users and associated costs to the Council</p>	16 - Very High	<p>Pro Active measure by Welfare Unit</p> <p>Influencing the use of the Better Care Fund through working with partners</p> <p>Modelling the impact of the care Act on the social care services</p>	12 - High		12 - High

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ORG0039	Contract Management	<p>Internal audits completed in 2013 identified that there are weaknesses in the Councils contract management arrangements. As a result some contracts are not adequately performance managed</p> <p>The latest internal audits on Procurement have been RED</p> <p>Copies of contracts are not always available and are not kept in a central repository.</p> <p>The system for amending contractor details or recording contractual changes is not sufficiently robust</p> <p>Copies of contracts are not always available and are not kept in a central repository.</p> <p>The system for amending contractor details or recording contractual changes is not sufficiently robust</p>	<p>Contractors/contracts are not monitored effectively.</p> <p>Contracts can not always demonstrate that they deliver Value for Money</p> <p>Copies of contracts mislaid and unable to be referred to in the event of a dispute with the contractor</p>	16 - Very High	<p>Action plans have been published for the audits and have recommendations for action .</p> <p>These have been allocated and assigned to the relevant Assistant Directors i.e. avarto – Neil Aves</p> <p>There are further action plans for Atkins which requires immediate attention</p> <p>avarto currently have a procedure in place for dealing with supplier request to change bank details.</p> <p>Procurement Business Case form to act as a mechanism to capture key details</p> <p>The draft Procurement Operating Procedures should be updated to reflect the process adopted for a request to a change to supplier</p> <p>Atkins audit finalised</p>	8 - Medium	<p><b>A procedure should be established to include guidance on assessing the risk related to contracts</b></p> <p>Julie Pickering 30/09/2014</p> <p><b>Those contracts defined as 'most strategic' should have stringent procedures defined to enable the contracts to be effectively m</b></p> <p>Julie Pickering 30/09/2014</p> <p><b>Training has already commenced and needs to continue</b></p> <p>Julie Pickering 30/12/2014</p> <p><b>The Council should prioritise the implementation of information gathering for its major contracts</b></p> <p>Julie Pickering 31/12/2014</p> <p><b>Legal Services should then be responsible for holding all original contracts and providing an electronic version to those charge</b></p> <p>Amardip Healy 30/06/2014</p> <p><b>The Council should run reports from their finance system on new suppliers</b></p> <p>Joseph Holmes 30/06/2014</p> <p><b>Finalise Amey contract management audit and confirm corrective actions and time scales</b></p> <p>Neil Aves 25/04/2014</p>	6 - Medium

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ORG0040	Children's Services Risks	<p>Following the 2013 OFSTED inspection into Safeguarding where the Council were rated inadequate for the provision of Children's Services, a letter was issued from the DfE suggesting that the provision of children's services would be removed from the Council.</p> <p>The Government has clearly signalled their intent to move Children's Social Care away from the Council's direct management.</p>	<p>Greater pressure is put on all other Council services through having to make higher levels of saving on a much lower overall budget base</p> <p>The Council loses control over the delivery of this service.</p> <p>The council will need to re-organise its support services as these may also be transferred; this could lead to less resilience</p> <p>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"</p> <p>The transfer may be complicated by the fact that parts of the wider children's service provision has been outsourced to Cambridge Education</p> <p>In the time and the actual transfer the delivery of the service may suffer due to loss of staff and staff morale.</p> <p>Reputational damage to Council, Members, and staff</p>	20 - Very High	Influence the Department for Education through representations over the timescales and scope of the potentially transferred services	20 - Very High	<p><b>Ensure that through representations with the DfE, the cost to the local taxpayer of the transition is minimised and there is foc</b></p> <p>CMTMembers 31/10/2014</p> <p><b>Need to establish a transition team to manage the move of this service to another provider with minimum disruption to the service</b></p> <p>CMTMembers 30/09/2014</p>	16 - Very High
ORG0041	Insufficient staff resources/capacity	The organisations capacity to deliver current operations and "conduct major change activities"	<p>Inability to deliver the required organisational and operational changes to meet the financial challenges from the Government and changing expectations from the 5 year plan.</p> <p>Work Related consequences:</p> <ul style="list-style-type: none"> <li>Stress related illnesses/behaviours</li> <li>Resentment</li> <li>Departure of best talent</li> <li>Poor performance</li> <li>Failures of judgement</li> </ul>	20 - Very High	<p>Clearly articulated 5 year plan and outcomes focus</p> <p>Increased collection rates and tax bases mitigate some of the financial pressures</p>	9 - High	<p><b>Effective workforce strategy and action plan articulated across the organisation</b></p> <p>CMTMembers 30/01/2015</p> <p><b>Assess the capacity for both normal operations and carrying key organisational change initiatives</b></p> <p>CMTMembers 31/12/2014</p>	6 - Medium