

# SBC Corporate Risk Register

<b>Report Date</b>	26 Feb 2019
<b>Risk Status</b>	Open
<b>Comparison Date</b>	In the past 3 Month(s)
<b>Risk Level</b>	
<b>Control Status</b>	Existing
<b>Action Status</b>	Outstanding

SBC Corporate Risk Register

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A&I 4	School Transport Budget	Tony Browne	<p><b>Description</b> The budget for the School Transport Section is £1.8m. This is a statutory demand led service which makes it more difficult to control the spend. It is projected that the current year budget will be overspent by £1m</p> <p><b>Consequence</b> If the level of service is reduced this will damage the Council reputation and be unpopular.</p>	I = 4 L = 6 24	<p>£0.5m in growth put into the Medium term Financial Strategy</p> <p>Monitoring number of pupils eligible for transport, the number of contracts, the proportion of contracts taking children to schools outside Slough and the number of children requiring individual transport</p> <p>Monthly budget monitoring</p>	I = 4 L = 3 12	<p><b>Person Responsible:</b></p> <p><b>To be implemented by:</b></p>	I = 3 L = 3 9
SD 5	Overspend on the High Needs Block related to demographic pressures and structural budget issues	Vikram Hansrani	<p><b>Description</b> Overspend on HNB related to demographic pressures and structural budget issues</p> <p><b>Consequence</b> Cumulative pressures pose a significant financial risk to the Dedicated Schools Grant (DSG)</p>	I = 4 L = 6 24	<p>1) Ensure financial recording of placements for all CYP is an intrinsic part of SEND Officers' caseload.</p> <p>2) Ensure provision is fully utilised with the local authority.</p>	I = 3 L = 4 12	<p>1) Consider funding EYIF from EYs Block</p> <p>2) Strengthen transition for CYP with EHCPs post 16 to mitigate a high % of 19+ students in FE</p> <p>3) Work with post-16 settings to deliver an appropriate curriculum within agreed financial envelope.</p> <p>4) Complete reviews of RBs and SEND banding</p> <p>5) Work with Arbour Vale School and prospective provider to ensure that it is able to meet complex needs</p> <p><b>Person Responsible:</b> Vikram Hansrani</p> <p><b>To be implemented by:</b> 31 Mar 2019</p>	I = 3 L = 2 6




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CR 8	Ensuring the effectiveness of resilience plans/continuity plans for key locations and services.	Dean Trussler	<p><b>Description</b> 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><b>Consequence</b> 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.</p>	I = 4 L = 6 24	<p>Dedicated Business Continuity Officer</p> <p>External assistance to help develop the plan</p> <p>There is a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level</p>	I = 4 L = 5 20	<p>To conclude the delivery programme for implementing Business Continuity Management throughout the authority</p> <p><b>Person Responsible:</b> Dean Trussler</p> <p><b>To be implemented by:</b> 29 Mar 2019</p> <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><b>Person Responsible:</b> Dean Trussler</p> <p><b>To be implemented by:</b> 31 Mar 2019</p>	I = 2 L = 3 6




SBC Corporate Risk Register

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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].	Colin Moone	<p><b>Description</b> 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 risk.</p> <p>The Council owns 7,000 residential properties of mixed age dating back to the 1950s and of mixed..</p> <p><b>Consequence</b> 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>	<p>I = 4 L = 5 20</p> <p>==</p>	<p>2018/19 Budget approved additional funding for the expansion of James Elliman Housing</p> <p>A group has been set up to look specifically at high rise properties</p> <p>Contracts have been strengthened with respect to contractor's health and safety responsibilities</p> <p>Corporate health and safety board.</p> <p>Homeless Prevention Board</p> <p>The risk of homelessness is being monitored.</p>	<p>I = 3 L = 4 12</p> <p>==</p>	<p>Ensure the sufficient resourcing for the expansion of James Elliman Homes</p> <p><b>Person Responsible:</b> Colin Moone <b>To be implemented by:</b> 31 Jan 2019</p> <p>Putting place Homelessness Prevention strategy aimed at trying to contain homelessness and containing the financial impact upon the authority</p> <p><b>Person Responsible:</b> Colin Moone <b>To be implemented by:</b> 31 Jan 2019</p> <p>Building compliance project RSM review</p> <p>The first deliverable of this project will be the results of a review of the compliance system</p> <p><b>Person Responsible:</b> Colin Moone <b>To be implemented by:</b> 31 Mar 2019</p>	<p>I = 3 L = 3 9</p> <p>==</p>

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136	Termination of arvato contract	Neil Wilcox	<p><b>Description</b>                      The Council leadership have decided to terminate the contract with arvato w.e.f. 1st Nov 2019. and bring the services back in house.</p> <p>The original termination date of the contract was 2022.</p> <p>The Council now has to TUPE staff back into the council and set up appropriate management structures.</p> <p><b>Consequence</b>                      Reduction in income collection                      arvato indifference to fulfilling the terms of the existing contract.                      Late payment to creditors                      Halting of various ICT projects with impacts on other major projects                      Opportunity to reshape the delivery of key inward and outward facing services                      Damage to reputation</p>	I = 4 L = 5 20 	Council-wide arvato group set up	I = 3 L = 5 15 	Actions will be identified at Council wide group <b>Person Responsible:</b> Neil Wilcox <b>To be implemented by:</b> 31 Mar 2019	I = 3 L = 5 15 

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CR 2	Failure to ensure financial sustainability.	Neil Wilcox	<p><b>Description</b> 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 reliant on increased levels of income being generated by attracting new businesses to the area. There is..</p> <p><b>Consequence</b> 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 Urban Regeneration programme is likely to produce an extended period of lower than expected income which..</p>	I = 4 L = 4 16 	Assessment of the impact of Brexit on Council finances Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management External experts used to carry out financial analysis. 5 Year Plan in place Medium term financial strategy	I = 4 L = 2 8 	<b>Person Responsible:</b> <b>To be implemented by:</b>	I = 4 L = 2 8 

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35	arvato Contract - Re-provision	Vijay McGuire	<p><b>Description</b> In the event of a potential re-provision programme to replace existing contract there is a need to undertake appropriate Options appraisal / Planning and review the existing contract provision in preparation</p> <p>The two members of staff that currently monitor the avato contract are having to be replaced.</p> <p>The contract has to finish in in 2022,</p> <p><b>Consequence</b> May result in loss of efficiencies / saving opportunities</p> <p>Poor procurement of a significant contract containing high risk council services</p>	I = 4 L = 4 16  =	Early engagement of RSM to provide an outline option appraisal approach for the councils consideration  Early member engagement to seek steer / delegated authority to undertake robust option  Reviewing contractual position  Senior leadership / CMT / slt - Fully aware of the tight timescales and resource implications to support this programme of work that will require extensive council wide /	I = 3 L = 3 9  =	Person Responsible:  To be implemented by:	I = 3 L = 1 3  =
33	Failure of Children's Social Care	Cate Duffy	<p><b>Description</b> 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><b>Consequence</b> Poor outcomes for vulnerable children include risks to safeguarding. Reputational damage to the council. Prolonged statutory intervention</p>	I = 4 L = 4 16  =	Improvement Board  Joint Parenting Panel  Reporting to Cabinet  Reporting to Education and Children's Scrutiny  Review of governance by external improvement partner  Review of KPI for Improvement Board,	I = 3 L = 3 9  ↓	Person Responsible:  To be implemented by:	I = 3 L = 3 9  =





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RD 12	Failure to ensure the Town Centre redevelopment, backed by external investors, is completed in as short a timescale as possible.	Kassandra Polyzoides	<b>Description</b> 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.	I = 4 L = 4 16 = =	Discussions and negotiations with investors has started (single point of contact)	I = 4 L = 3 12 = =	Establish a relationship with Ardia through a project board <b>Person Responsible:</b> Kassandra Polyzoides <b>To be implemented by:</b> 31 Mar 2019	I = 3 L = 3 9 = =
			In the short term SBC have to ensure the short term viability of the Town Centre  <b>Consequence</b> 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		Internal Town Centre Project Board		Need to develop a program/strategy for attracting short term investment <b>Person Responsible:</b> Kassandra Polyzoides <b>To be implemented by:</b> 31 Mar 2019	

SBC Corporate Risk Register

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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.	Neil Wilcox	<p><b>Description</b> 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 economic, social and environmental well-being with regard to public service contracts.</p> <p><b>Consequence</b> 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>	<p>I = 3 L = 5 15</p>	Dedicated Procurement team	<p>I = 3 L = 3 9</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><b>Person Responsible:</b> Sushil Thobhani <b>To be implemented by:</b> 31 Mar 2019</p>	<p>I = 2 L = 3 6</p>
					Internal Procurement and tender regulations in Constitution		<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 contracts</p> <p><b>Person Responsible:</b> Sushil Thobhani <b>To be implemented by:</b> 31 Mar 2019</p>	

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							<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</p> <p><b>Person Responsible:</b> Sushil Thobhani</p> <p><b>To be implemented by:</b> 31 May 2019</p>	
CR 11	Ensuring the Council's internal control environment is fit for future.	Neil Wilcox	<p><b>Description</b> 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 made often late or without sufficient due process etc. This is applicable to both officers and..</p> <p><b>Consequence</b> The Council is therefore at greater risk of being challenged or making a poor decision with sub optimal outcomes.</p>	<p>I = 3 L = 5 15</p> <p>=</p>	<p>Reviewed Code of Conduct for 2018</p> <p>Reviewed Constitution</p> <p>RSM Internal Audit provides assurance Implementation of Agresso has increased controls</p> <p>There is a programme of reviewing HR policies</p> <p>Updated financial procedure rules</p>	<p>I = 3 L = 3 9</p> <p>=</p>	<p>Complete the review of the constitution.</p> <p><b>Person Responsible:</b> Sushil Thobhani</p> <p><b>To be implemented by:</b> 31 May 2019</p>	<p>I = 2 L = 2 4</p> <p>=</p>

SBC Corporate Risk Register

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CR 10	Ensuring that the sustainability and transformation partnership (STP) reaches a satisfactory agreement between all the partners.	Alan Sinclair	<p><b>Description</b> Slough needs to deliver a sustainable Health &amp; Care system</p> <p>There are 13 partners on the Board including acute hospital trusts, community trusts and CCGs.</p> <p><b>Consequence</b> 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 to deliver what it needs to deliver</p>	<p>I = 3 L = 4 12</p> <p>=</p> <p>=</p>	A voting member of the board	<p>I = 2 L = 3 6</p> <p>=</p> <p>=</p>	<p><b>Person Responsible:</b></p> <p><b>To be implemented by:</b></p>	<p>I = 2 L = 3 6</p> <p>=</p> <p>=</p>
					Reports are sent to the Wellbeing board and to Scrutiny Panel			
					There is a Wellbeing Board alliance			

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38	information Governance and GDPR	Simon Pallett	<p><b>Description</b>                      GDPR comes in May 2018. At present there appears to be no clear pathway to implementation.</p> <p>There needs to be a corporate and local response to the implementation of GDPR</p> <p>The section that deal with Information Governance lacks resource</p> <p>As the "go-live" date for GDPR approaches this has meant that workers who understand GDPR and how to mitigate the effects are becoming more valuable to all..</p> <p><b>Consequence</b>                      If there is not an adequate response to GDPR there is a chance that there may fines, criticism from the information Commissioner</p> <p>Damage to reputations</p> <p>Civil Claims for damages</p>	I = 3 L = 4 12 = =	Initial data mapping completed by RSM The Corporate Addendum has been accepted.	I = 3 L = 3 9 = =	A restructure of the Finance & Resources Department will seek to solve the resource gap <b>Person Responsible:</b> Simon Pallett <b>To be implemented by:</b> 31 May 2019	I = 3 L = 2 6 = =

SBC Corporate Risk Register

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RD 11	Inability to manage the urban regeneration projects such that they deliver a quality product on time and to budget	Kassandra Polyzoides	<p><b>Description</b> 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><b>Consequence</b> 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 = 4 L = 3 12	<p>Created a Directorate for Regeneration Asset Master Plan</p> <p>External advisors used for legal and technical advice</p> <p>Monitoring reports go to Cabinet &amp; Members</p> <p>Terms of reference and governance around SUR contracts</p>	I = 3 L = 3 9	<p>Ensure that there is sufficient budget available Budget not finalised but know income expectations.</p> <p><b>Person Responsible:</b> Kassandra Polyzoides</p> <p><b>To be implemented by:</b> 31 Mar 2019</p>	I = 3 L = 2 6
CR 14	Failure to ensure that the Council has adequate permanent staff with the skills required to meet their corporate objectives.	Surjit Nagra	<p><b>Description</b> 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><b>Consequence</b> Failure to develop the workforce and retain staff will mean the Council does not have the required skills to meet its</p>	I = 3 L = 3 9	<p>Appointed a team to manage the Slough Academy</p> <p>Employment Appeals Committee Monitoring data</p> <p>Invested in the Slough Academy for difficult to fill posts</p> <p>Restructured Adult Social Care</p> <p>Working with Matrix regarding the longevity of Agency staff.</p>	I = 2 L = 3 6	<p><b>Person Responsible:</b></p> <p><b>To be implemented by:</b></p>	I = 2 L = 3 6