

Risk 1: Delivery of the Adults Social Care (ASC) Transformation Programme

Risk Owner: Alan Sinclair

Description:

The ASC transformation programme has a number of critical workstreams to support the delivery of improvements in ASC and also deliver savings to deliver a balanced budget for ASC over 3 years.

If the changes do not happen in a timely and effective way there will be a negative impact on service delivery with residents directly affected and savings will not be delivered.

Consequence:

Increasing number of people waiting for assessment, service or review. Increasing number of safeguarding cases. Provider failures and reduced quality. Demand increasing. Use of agency increasing.
Budget not balanced, savings not delivered, cost and price increasing.
Health funding to support the changes may be withdrawn

Current Controls:

- ASC business case and implementation plans
- ASC Transformation Board – reporting into Our Futures/Recovery and Renewal Board
- Tracking of actions and savings
- Support and challenge from People Too consultant partners

Actions Required:

- Confirm Better Care Fund (BCF) additional contribution to ASC – by end of Oct 21 by Alan Sinclair
- Manage increased income from client contributions – by end of March 22 by Marc Gadsby
- Deliver the workstream actions in the ASC transformation programme by end of March 23 by Marc Gadsby and Jane Senior

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	5	Likelihood	4
Impact	3	Impact	3	Impact	2
Score	18	Score	15	Score	8

Date Last updated: 3rd September 2021

Risk 2: Covid Pandemic

Risk Owner: Josie Wragg

Description:

Infection rates and more of our residents become impacted by the pandemic
 Low vaccination rates
 Non-compliance

Current Controls:

- Slough Local Outbreak management plan
- Weekly Covid silver
- 3 x weekly outbreak meeting
- 1 x weekly partner outbreak meeting
- Local contact tracing in place
- Use of covid grants

Consequence:

Health and care systems overloaded
 Increasing number of residents in hospital. Death rate rising
 Schools and local businesses impacted – closures
 Stretched council resources to manage the work

Actions Required:

- Revision of local covid plan due from Sohail Bhatti by end of October 2021
- Revised contact tracing plan due from Sohail Bhatti by end of October 2021
- Agreement on priority use of Covid grants -Silver command by end of Oct 21

Inherent Risk		Residual Risk		Target Risk	
Likelihood	5	Likelihood	4	Likelihood	3
Impact	3	Impact	3	Impact	3
Score	15	Score	12	Score	9

Date Last updated: 3rd September 2021

Risk 3: Temporary Accommodation				Risk Owner: Richard West	
<p>Description: There is a financial risk arising from the increasing demand for Temporary Accommodation. We have increasing numbers of UK nationals presenting as homeless now that evictions are being allowed. We have pressure to receive asylum seekers – currently 300 asylum seekers are in the borough awaiting immigration status and further to this the UK has specific commitments to Hong Kong and to Afghanistan and has “bridge head” infrastructure in place in Slough as a result of our existing cohort of asylum seekers</p> <p>Consequence: Budget pressure</p>			<p>Current Controls:</p> <ul style="list-style-type: none"> ➤ Housing Needs Officers are being supported in taking an appropriate approach when assessing eligibility for Temporary Accommodation (number of units) ➤ Temporary Accommodation Officers are being supported in negotiating better rates (cost/unit) with <p>Actions Required:</p> <ul style="list-style-type: none"> ➤ Develop a reputation that we have an appropriate approach ➤ Additional landlords to be found to increase supply and force down cost/unit 		
Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	4	Likelihood	3
Impact	3	Impact	2	Impact	2
Score	18	Score	8	Score	6
Date Last updated: 31 st August 2021					

Risk 4: Disposal of Assets		Risk Owner: Executive Director Place and Director of Finance	
<p>Description:</p> <p>Requirement to dispose of sufficient assets to realise capital receipts in order to:</p> <ul style="list-style-type: none"> ➤ finance the anticipated capitalisation direction and ➤ to allow the Council's external borrowings and debt charges to be reduced <p>Consequence:</p> <p>Without a programme of asset disposals to finance reduction of external debt, the Council's external borrowing per head of population will remain one of the highest in the UK and debt charges will increase to a significant proportion of the net revenue budget. This position is not sustainable and will compromise the Council's ability to:</p> <ul style="list-style-type: none"> ➤ set a balanced budget and ➤ provide existing levels of services in the future. 		<p>Current Controls:</p> <p>Assets Disposal Programme Board meets weekly to identify assets for potential disposal</p> <p>Cabinet report 20 September 2021 seeks permission to (1) progress with an orderly asset disposal programme (2) use receipts generated from these disposals to minimise new external borrowing and where possible repay existing short-term loans (3) obtain external support in terms of capacity and expertise to manage the programme of asset disposals</p> <p>Actions Required:</p> <ol style="list-style-type: none"> (1) Procurement of external support following Cabinet approval. (2) All Executive and Associate Directors to identify potential assets for sale (linked to service delivery priorities and potential for reconfiguration in the future) (3) Initial option appraisal to be undertaken by 31 December 2021, to assess priorities for 1st tranche of disposals 	
Inherent Risk		Residual Risk	
Likelihood	6	Likelihood	5
Target Risk		Target Risk	
Likelihood	4	Likelihood	4

Impact	4	Impact	4	Impact	4
Score	24	Score	20	Score	16
Date Last updated: 21 st September 2021					

Risk 5: Financial sustainability, accounting, processes, commercial and other matters

Risk Owner: Steven Mair

Description:

The Council faces a financial situation of an extremely serious nature: with a significant estimated unfunded financial deficit forecast. The approach to:

- financial decision-making
- leadership and management
- processes
- quality assurance and review
- financial governance
- accounts
- etc

that has been adopted by the Council over a number of years was not robust and consequently highly detrimental to the Council.

Contract Management also needs to be much improved

Consequence:

The Council is now actively tackling its financial position and issues. Failure to have done so would have rendered the Council unable to fulfil its duties and acting illegally

Current Controls:

The Council has recently appointed a new S151 officer.

Additional specialist resources have been brought in to understand the nature and scale of the problems, which has culminated in the issuing of a s114 Report on 2nd July.

The Council has agreed to invest additional resource into the finance service as recommended by the external auditors and agreed by Council

Finance action plan reported to full Council for each meeting starting September

Actions Required:

The S114 Notice and accompanying report sets out areas and measures in relation to the Council's finances and governance which require urgent attention. These measures are underpinned by a detailed action plan, and the S151 officer, working with colleagues, is leading on its implementation.

The immediate actions include:

- Aiming for accounts from 2016/17 to 2020/21 by 31/3/22

- Verifying and identifying savings for 2021/22 and 2022/23 by 31/10/21
- Companies review – continuous work through to March 2023 and beyond
- Finance staffing instigated by September and October 2021
- Agresso project plan for November 2021
- Continuous programme of designing and embedding good financial practise
- MTFS for December 2021
- Long term financial savings by May 2022 among others

Inherent Risk		Residual Risk		Target Risk	
Likelihood	4	Likelihood	4	Likelihood	1
Impact	6	Impact	4	Impact	4
Score	24	Score	16	Score	4

Date Last updated: 21st September 2021

<p>Risk 6: The Council doesn't take adequate mitigation to reduce the risk of injury or death from incidents within the Council</p>	<p>Risk Owner: Vijay McGuire / Surjit Nagra</p>
<p>Description: If the Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of staff and citizens Key potential causes are:</p> <ul style="list-style-type: none"> ➤ Lack of understanding of roles and responsibilities ➤ Insufficient staff numbers to carry out work plans in a safe way. ➤ Budget pressures resulting in inability to provide correct equipment ➤ Lack of appropriate training. ➤ Lack of oversight and control by local management. ➤ Lack of information on the potential or known risks i.e. through lack of reporting ➤ Lack of learning from previous lessons ➤ Inadequate contract management arrangements. ➤ Lack of effective processes and systems consistently being applied. ➤ Policies are not kept up to date. ➤ Lack of accountability and governance arrangements <p>The risk of injury or death is from high risk activities:</p> <ul style="list-style-type: none"> ➤ lone working and violence ➤ use of machinery ➤ inadequately managed buildings ➤ inadequate contract management <p>Consequence:</p>	<p>Current Controls:</p> <ul style="list-style-type: none"> ➤ H&S Professionals and Advisers in post ➤ A Health and Safety Management System (Policy and COP's) in place. These are regularly reviewed and updated and clearly communicated. ➤ Corporate H&S Strategy (2018-2021) in place with Directorate Plans dovetailing ➤ Accident reporting system and procedure in place and communicated. Investigations occur and are reported. ➤ H&S Training programs in place, available face to face and on line. Mandatory Training identified and in place. ➤ Lone worker In-check and Personal Safety Devices in place ➤ Monitoring of H&S indicators at H&S Committees (bimonthly) and H&S Board (quarterly). ➤ Trade Union Consultation with Health and Safety trained Representatives present ➤ Compliance monitoring 'Building Compliance Group' (monthly) and 'Operations Leadership Team' (monthly) ➤ Audit program <p>Actions Required:</p> <ul style="list-style-type: none"> ➤ Online accident reporting for accurate monitoring and tracking ➤ Monitoring of actions from risk assessments, accidents and audits to ensure lessons are learnt and actions are implemented through an online system ➤ H&S Team Auditing high risk areas of the council: Asset Management, Environmental Services, Strategy

Death/Injury to individuals and/or non-compliance with relevant legislation resulting in prosecution and civil claims.

and Infrastructure and Lone Workers. Lower risk areas to self audit post Transformation

- Gap analysis of training needs, provision and uptake
- New corporate strategy to be developed for 2022 onwards and Directorate plans to be developed.

Inherent Risk		Residual Risk		Target Risk	
Likelihood	5	Likelihood	4	Likelihood	3
Impact	4	Impact	3	Impact	2
Score	20	Score	12	Score	6

Date Last updated: 2nd September 2021

Risk 7: Elections and Electoral Registration				Risk Owner: Fiona Ahern	
Description: Failure to deliver elections and maintain the Electoral Register: <ul style="list-style-type: none"> ➤ Insufficient resources provided to Electoral Registration Officer (ERO) to deliver a comprehensive canvass & the Returning Officer to deliver the elections. ➤ Failure of IT systems to maintain the Electoral Management System ➤ Failure to follow legislative and regulatory requirements. Consequence: <ul style="list-style-type: none"> ➤ Disenfranchisement of local residents. ➤ Potential to challenge any election which relies on an incomplete or inaccurate register. ➤ Failure of local authority in its duty to provide sufficient resources & funding to the Returning Officer/Electoral Registration Officer. ➤ Loss of polling places & Count venue ➤ Reputational damage. 			Current Controls: <ul style="list-style-type: none"> ➤ Project Plan including detailed Risk Register ➤ Documented internal procedures ➤ Monitoring by Electoral Commission through appropriate Performance Standards & Surveying ➤ Adequate insurance (RO - personal liability) ➤ IT reserve high level on-call Actions Required: <ul style="list-style-type: none"> ➤ Adequate staffing to ensure canvass is completed in the Autumn. (Electoral Staff & Canvassers). ➤ Follow the guidance and steps provided by the Electoral Commission to maintain the register. ➤ Provide reporting & statistics on the management of the register for accuracy and completeness. ➤ Ensure Plans are in place early to manage the delivery of any election and adequate resourcing. ➤ Core staff put in place to deliver the elections. ➤ Staffing the election - resources need to be put in place early to ensure staffing for all aspects of the election. ➤ Polling places booked early. 		
Inherent Risk		Residual Risk		Target Risk	
Likelihood	4	Likelihood	3	Likelihood	2
Impact	4	Impact	4	Impact	3
Score	16	Score	12	Score	6
Date Last updated: 08/09/2021					

Risk 8: Recovery and Renewal Plan

Risk Owner: Josie Wragg

Description:

The Council’s Recovery and Renewal Plan does not deliver on the Council’s priorities:

- Balanced budget in 2021/22, 2022/23 and beyond
- Becoming a Right sized council
- Our core enablers (ICT, Innovation and Improvement, Finance, and Governance)

Consequence:

- Risk to service continuity and delivery
- Risk to statutory obligations
- Risk to safeguarding

Current Controls:

- Initial work to develop a right sized model for the Council
- Draft of the Council’s core offer
- Improved companies governance

Actions Required:

- Focus on statutory minimum services
- Develop programme of work based on the Five Case Model approach
- Sale of assets
- Downsizing of the Council
- Investment in services that allow the Council to safety function
- Zero based budgeting
- Reprioritised digital and ICT improvement programme
- Data and Insight to support service delivery and decision making
- Governance recommendations from MHCLG

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	5	Likelihood	3
Impact	4	Impact	3	Impact	2
Score	24	Score	15	Score	6

Date Last updated: 13th September 2021

Risk 9: Business Continuity and Emergency Planning

Risk Owner: Surjit Nagra

Description:

- The Council's Business Continuity Plan for key locations and services is not up to date and there is not an effective plan in place should an emergency occur

Consequence:

- Failure to have an upto date BCP places the Council at risk of being unable to continue its business should a serious event cause disruption.

Current Controls:

- Emergency Planning and Business continuity lead in place
- Emergency Planning and Business Continuity awareness programme delivered to mangers
- External assistance to help develop the plan
- There is a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level

Actions Required:

- To implement a plan to review Business Continuity Management in response to the organisation restructure and availability of IT Disaster Recovery
- Training for mangers is booked. Awaiting to get e learning package online.
- Training programme to be delivered by December 2021

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	3	Likelihood	3
Impact	4	Impact	4	Impact	2
Score	24	Score	12	Score	6

Date Last updated: 13th September 2021

Risk 10: Workforce recruitment and retention				Risk Owner: Surjit Nagra	
Description: <p>Workforce Recruitment and Retention – Risk that the Council is unable to recruit and retain the required workforce of the right calibre because of concerns about the Council’s financial situation and as it progresses to a right sized Council</p>		Current Controls: <ul style="list-style-type: none"> ➤ Tracking of staff turnover rates to Executive board monthly ➤ Engagement with the workforce through regular communications and briefings; and also with trade union colleagues Communications to staff with leadership directly through “Ask me anything” sessions 			
Consequence: <ul style="list-style-type: none"> ➤ Higher costs due to cost of recruitment to replace staff who have left ➤ High level of absenteeism and poor wellbeing – staff’s wellbeing will be affected by taking on work of absent colleagues leading to fatigue. ➤ Employee disengagement leading to reduced productivity ➤ Failure to maintain required levels of service delivery affecting our residents 		Actions Required: <ul style="list-style-type: none"> ➤ Tracking of specific issues through analysis of exit interviews 			
Inherent Risk		Residual Risk		Target Risk	
Likelihood	4	Likelihood	3	Likelihood	2
Impact	3	Impact	3	Impact	3
Score	12	Score	9	Score	6
Date Last updated: 10 th September 2021					
Risk 11: SEND Local Area Inspection				Risk Owner: Johnny Kyriacou	

Description:

- The SEND service is expecting a local Area Inspection imminently. Slough has not been inspected before. The council is expecting to receive a written statement of action as an outcome of any inspection. There are many areas for improvement that have been identified for improvement under the new and recent changes in leadership. Plans are in place to try and move forward.

Consequence:

- Reputational risk and legal challenge from parents in relation to Education, Health and Care Plans (EHCP).

Current Controls:

- a refreshed Self Evaluation Form has been completed that identifies areas to focus on.
- a Rapid Action Plan (RAP has been developed and shared with partners)
- Strategic oversight strengthened - Strategic board now meets every 6 weeks
- Resource base Review has been completed
- new management in place (New Associate Director, New Group Manager and recently recruited Team Manager)
- Interim SEND Commissioner has been appointed.

Actions Required:

- Implement RAP with milestones in the next 6 months
- Implement Dedicated Schools Grant (DSG) recovery plan in partnership with the Department for Education (DfE) (first meeting taking place in November 2021)
- Commission new contract and re-procurement of all contracts to meet service needs within the next 12 months

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	4	Likelihood	2
Impact	4	Impact	2	Impact	2
Score	24	Score	8	Score	4

Date Last updated: 13th September 2021

Risk 12: Cyber Security

Risk Owner: Group Manager IT
– Mark Davies

Description:

Potential of technological attack specifically and deliberately (targeted), collectively as part of a wider attack or inadvertently by an internal actor breaching policy and procedures.

Consequence:

Worst case: Temporary or permanent loss of access to some or all of SBC data and / or IT systems.

Likely case: (some of) loss of reputation in handling personal data, removal of access to PSN and DWP direct data connections, removal or penalties for bank payment handling and processing. Short term loss of access to data or systems.

Best case: Isolated incident with minimal or no data loss and no loss of access to IT systems.

Current Controls:

<p>Procured membership of SEGWARP and other government alert agencies</p>	<p>This provides regional alerting on vulnerabilities that SBC needs to be aware of / intelligence sharing / threats / policy development</p> <p>SBC have also registered with the Cyber Resilience Service for the south east to enable a regional approach to cyber alerting.</p>
<p>Ensure security patching is up to date and continues regularly.</p>	<p>An interim resource has been engaged to check and apply security patching. As of 14/09/21 26% of systems have been brought up to date over the previous 14 day period. It is expected that all required systems will be completed well within the 3 month engagement period.</p> <p>The server systems have also had security endpoint software installed which helps reduce risks from systems on back level patching.</p>

	<p>Periodic and regular 3rd party penetration testing.</p>	<p>SBC procure the services of multiple security vendors to perform at least annual security testing and health check scans to ensure any exposed system is identified and rectified. The test for 2021 is approaching and is currently being commissioned and the scope for the test is being set.</p>
	<p>Cyber Security support from market leading 3rd party.</p>	<p>Softcat are contracted to provide additional cyber security support. This covers the following</p> <ul style="list-style-type: none"> • Quarterly Security Controls Assessment • Breach Assessment annually • Security Improvement Programme Leadership <p>Organisation and Execution of cyber essentials audit action plan. All but one action complete with the final to be before end of 2021</p>
<p>Actions Required:</p>		

- Improve security awareness in general staff.
- Document detailed security procedures for patching, testing, incident handling and test that these work
- Fund a continuous improvement programme for IT security hardware and software

Inherent Risk		Residual Risk		Target Risk	
Likelihood	5	Likelihood	4	Likelihood	3
Impact	3	Impact	3	Impact	3
Score	15	Score	12	Score	9

Date Last updated: 14th September 2021

Risk 13: Information Governance and General Data Protection Regulations (GDPR)				Risk Owner: Vijay Maguire	
<p>Description: GDPR came into force in May 2018.</p> <p>There needs to be a corporate and local response to the implementation of GDPR</p> <p>The team that manages Information Governance lacks sufficient resource.</p> <p>GDPR has meant that workers who understand GDPR and how to mitigate the effects are becoming more valuable to all sectors, making it harder to fill posts with responsibility for GDPR</p> <p>Consequence:</p> <p>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>				<p>Current Controls: There is an interim Data Protection Officer (DPO) assigned. The Act DPA2018 / GDPR only states that as a public authority SBC would need a named and nominated person to act as DPO. SBC has that person.</p> <p>The interim Group Manager for IT is also experienced in GDPR and has fulfilled the role of Data Protection Officer previously in other organisations. GDPR training for new starters to minimise breaches of GDPR External review of compliance by Internal Audit Initial data mapping completed by SBC supported by RSM</p> <p>Actions Required: Draw together all aspects and issues of GDPR into one place, and establish a programme to confirm compliance or implement required controls where necessary.</p> <p>Ensure appropriate funding is provided to enable a permanent DPO to be recruited though it should be noted the DPO is a function and not a role. The DPO would typically also have another function within SBC. This role will be addressed in the IT restructure providing the funding for the post is made available. Internal Audit for GDPR planned in November 2021.</p>	
Inherent Risk		Residual Risk		Target Risk	
Likelihood	4	Likelihood	2	Likelihood	1
Impact	3	Impact	3	Impact	3
Score	12	Score	6	Score	3
Date Last updated: 15 th September 2021					

Likelihood	Very High	6	12	18	24
	High	5	10	15	20
	Significant	4	8	12	16
	Low	3	6	9	12
	Very Low	2	4	6	8
	Almost impossible	1	2	3	4
		Negligible	Marginal	Critical	Catastrophic
		Impact			

Assessing the SEVERITY/ IMPACT of a risk

Severity is assessed on a scale of Negligible to Catastrophic indicating increasing seriousness. The impact is assessed looking at credible scenarios (taking prevailing circumstances into consideration) and looking forward to the risks that arise from these scenarios.

The **examples** against each category are for your guidance and should be thought of as the consequences that would be likely to occur if things were left to go out of control.

The **examples** detailed below will help ensure a consistent approach.

	Negligible	Marginal	Critical	Catastrophic
	1	2	3	4
Economic /Financial	Financial impact up to £50,000 requiring virement or additional funds	Financial impact between £50,000 and £500,00 requiring virement or additional funds	Financial impact between £500,000 and £1,000,000 requiring virement or additional funds	Financial impact in excess of £1m requiring virement or additional funds

	Negligible	Marginal	Critical	Catastrophic
	1	2	3	4
Political	Could have a major impact one departmental objective but no impact on a Council strategic objective	Could have a major impact on a Departments objective with some impact on a Council strategic objective	Council severely impact the delivery of a Council strategic objective	Council would not be able to meet multiple strategic objectives.
Health & Safety	Reduced safety regime which if left unresolved may result in minor injury	Minor injuries	1 death or multiple serious injuries	Multiple deaths
Environment	Minimal short-term/temporary environmental damage	Borough-wide environmental damage	Major long term environmental damage	Very severe long term environmental damage.
Legal/Regulatory	Minor breach resulting in small fines and minor disruption for an short period	Regulatory breach resulting in small fines and short term disruption for an short period	Minimal CMT but major departmental management effort required	Very severe regulatory impact that threatens the strategic objectives of the Council
Management inc Contractual	Minimal contract management required	Minimal departmental but major contract management required	Minimal CMT but major departmental management effort required	Major CMT management effort would be required

Assessing the LIKELIHOOD of a risk occurring

The LIKELIHOOD of the risk occurring is estimated on the basis of historic evidence or experience that such situations have materialised or are likely to.

The table gives example details of how the likelihood is assessed.

The likelihood needs to be assessed in terms of has it happened before and is it expected to happen in the near future

Almost Impossible	Very Low	Low	Significant	High	Very High
1	2	3	4	5	6
Less than 10%	10 – 30%	30 -50%	50-70%	70 – 90%	More than 90%
Event may occur only in exceptional circumstances	Event will occur in exception circumstances	Event should occur at sometime	Event will occur at sometime	Event may occur only in most circumstances	Event will occur only in most circumstances