

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

Risk Owner: Executive Director of People (Adults)

Description:

If the adults social care transformation programme fails to deliver changes in a timely and effective way there will be a negative impact on quality of service with residents directly affected and a balanced budget 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Health funding to support the changes may be withdrawn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:

- Adults social care business case and implementation plans
- Adults social care transformation board – reporting into recovery and renewal board
- Tracking of actions and savings
- Support and challenge from People Too consultant partners
- Better Care Fund (BCF) additional contribution to ASC confirmed. Additional income of £0.75m for 21/22 and £0.46m for 22/23

Actions Required:

- Manage increased income from client contributions – by end of March 22 by Marc Gadsby
Based on the Financial Assessment and Charging Workstream, live from July:
 - New Client invoices raised to the value of £275,000
 - Backdated invoices raised the value of £775,000
 - Debt collected to the value of £382,000
 - Our target linked to this workstream is £300k for this year.
- Deliver the workstream actions in the adults social care transformation programme by end of March 23 by Marc Gadsby and Jane Senior - Good progress being made – monthly reporting of progress to ASC transformation programme board, monthly project report to Exec Board

and weekly financial tracking progress to lead members and directors.

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: 22nd November 2021

Risk 2: Covid Pandemic**Risk Owner: Executive Board****Description:**

Further waves of covid infections overwhelm our ability and /or our partners ability to provide services to required standards.

Consequence:

Increased demand on health and care systems. resulting in system pressures that impact ability to transform services or provide value for money and service quality.

Increase in death rate and long term conditions arise which increasing demand on council services

Significant impact on workforce availability due to illness

Schools and local businesses impacted – closures

Stretched council resources to manage the work

Additional unforeseen costs arise due to continuing impact of pandemic.

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
- Continue efforts to increase vaccination rates
- Revision of local covid plan
- Revised contact tracing plan

Actions Required:

- Agreement on priority use of covid grants -Silver command
- Priority areas for spend confirmed in revised Local Outbreak Management Plan – regular monitoring of covid grants and expenditure ongoing.

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: 12th November 2021

Risk 3: Temporary Accommodation	Risk Owner: Executive Director of Place and Community
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<p>Description:</p> <p>If we fail to manage the increasing demand for temporary accommodation it will cost us financially and damage our reputation.</p> <p>There are financial and reputational risks 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:</p> <p>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 landlords and other housing providers <p>Actions Required:</p> <ul style="list-style-type: none"> ➤ Ensure our approach seeks out and replicates best practice. ➤ Additional landlords to be found to increase supply and force down cost/unit
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Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	4	Likelihood	3
Impact	3	Impact	3	Impact	2
Score	18	Score	12	Score	6

Date Last updated: 12th November 2021

Risk 4: Disposal of Assets**Risk Owner:** Executive Director Place and Community and Director of Finance**Description:**

If we don't dispose of sufficient assets to realise capital receipts we will be unable to:

- finance the anticipated capitalisation direction and
- to allow the Council's external borrowings and debt charges to be reduced

Consequence:

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.

Without significant asset disposals the Councils long term financial position is not sustainable and will compromise the Council's ability to:

- set a balanced budget and
- provide existing levels of services in the future.

Current Controls:

Assets Disposal Programme Board meets weekly to identify assets for potential disposal

Cabinet report 20 September 2021 sought 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

Actions Required:

- (1) Procurement of external support following Cabinet approval.
- (2) Executive Director of Place and Community to identify initial options
- (3) Initial option appraisal to be undertaken by 31 December 2021, to assess priorities for 1st tranche of disposals

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	5	Likelihood	4
Impact	4	Impact	4	Impact	4
Score	24	Score	20	Score	16

Date Last updated: 18th November 2021

Risk 5: Financial sustainability, accounting, processes, commercial and other matters		Risk Owner: Director of Finance
<p>Description:</p> <p>Failure to improve the Council's financial and contract management and reporting will leave it in breach of its statutory responsibilities and acting illegally.</p> <p>The Council faces a financial situation of an extremely serious nature: with a significant estimated unfunded financial deficit forecast.</p> <p>The approach to:</p> <ul style="list-style-type: none"> ➤ financial decision-making ➤ leadership and management ➤ processes ➤ quality assurance and review ➤ financial governance ➤ accounts preparation and completion <p>that has been adopted by the Council over a number of years was not robust and consequently highly detrimental to the Council.</p> <p>Contract Management also needs to be much improved</p> <p>Consequence: Breach of statutory duties Section 114 notice Government appoint Commissioners to take over running of the Financial affairs of the council</p>		<p>Current Controls:</p> <p>The Council has recently appointed a new Section 151 officer.</p> <p>Additional specialist resources have been brought in to understand the nature and scale of the problems, which has culminated in the issuing of a section 114 Report on 2nd July.</p> <p>The Council has agreed to invest additional resource into the finance service as recommended by the external auditors and agreed by Council</p> <p>Finance action plan reported to full Council for each meeting starting September</p> <p>Finance and Commercial service business plan being developed to ensure future sustainability of the service.</p> <p>Actions Required:</p> <p>The Section 114 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 Section 151 officer, working with colleagues, is leading on its implementation.</p> <p>The immediate actions include:</p>

Failure to act would have rendered the Council unable to fulfil its statutory duties and acting illegally

- Aiming for accounts from 2016/17 to 2020/21 by 31/3/22
- Verifying and identifying savings for 2021/22 and 2022/23 by January 2022 and beyond
- Companies review – continuous work through to March 2023 and beyond
- Finance staffing structure designed by October 2021 and worked through thereafter into the new year
- Agresso project plan for December 2021
- Continuous programme of designing and embedding good financial practise
- Medium Term Financial Strategy for May 2022
- Identification of long term financial savings by May 2022 among others

Training:

Programme of officer training has commenced

Development of member training programme and support on financial matters

Inherent Risk		Residual Risk		Target Risk	
Likelihood	4	Likelihood	4	Likelihood	1
Impact	6	Impact	5	Impact	4
Score	24	Score	20	Score	4

Date Last updated: 12th November 2021

Risk 6: The Council does not take adequate mitigation to reduce the risk of injury or death from incidents within the Council

Risk Owner: Director of Finance

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:

- 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

The risk of injury or death is from high risk activities:

- lone working and violence
- use of machinery
- inadequately managed buildings
- inadequate contract management

Consequence:

Current Controls:

- Health & Safety professionals and advisers in post
- A health and safety management system (policy and codes of practice) in place. These are regularly reviewed and updated and clearly communicated.
- Corporate health & safety strategy (2018-2021) in place with directorate plans dovetailing
- Accident reporting system and procedure in place and communicated. Investigations occur and are reported.
- Health & safety 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 health & safety indicators at Health & Safety Committees (bimonthly) and Health & Safety 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

Actions Required:

- Online accident reporting for accurate monitoring and tracking. Business case has been submitted.
- Monitoring of actions from risk assessments, accidents and audits to ensure lessons are learnt and actions are

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

implemented through an online system. Business case has been submitted.

- Health & safety team auditing high risk areas of the council: asset management, environmental services, strategy and infrastructure and lone workers. Lower risk areas to self audit post Transformation Executive Board approved new audit format in November 21 following report from Health & Safety Board. Self-audits to be completed by Dec 21.
- Gap analysis of training needs, provision and uptake. Work commenced with Workforce Development in identifying risk assessment and accident investigation training. All managers and staff encouraged to complete mandatory H&S on line training via communications issued to all staff and managers. All managers have been provided with instructions on how to determine the compliance status of staff.
- New corporate strategy to be developed for 2022 onwards and directorate plans to be developed – This will be developed for Jan 2022

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

Date Last updated: 15th November 2021

Risk 7: Elections and Electoral Registration

Risk Owner:
Monitoring Officer

Description:

Failure to deliver elections and maintain the electoral register leads to a challenge of an electoral outcome:

- 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:

- 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.
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Current Controls:

- Project plan including detailed risk register
- Documented internal procedures
- Monitoring by Electoral Commission through appropriate performance standards & surveying
- Adequate insurance (Returning officer - personal liability)
- IT reserve high level on-call

Actions Required:

- 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: 12th November 2021

Risk 8: Recovery and Renewal Plan

Risk Owner: Executive Board

Description:

The Council's Recovery and Renewal Plan does not deliver the Council's priorities thus failing to meet its statutory duties

Consequence:

- Risk to service quality, continuity and delivery
- Risk to statutory obligations
- Risk to safeguarding
- Non-compliance with Best Value Duty
- Failure to achieve a balanced budget in 2021/22, 2022/23 and beyond
- Not becoming a Right sized council and therefore continuing to stretch resources too thinly
- Our core enablers (ICT, data and insight, finance, and governance) do not provide for a sustainable and cost effective long term solution

Current Controls:

- Initial work to develop a right sized model for the Council
- Draft of the Council's core offer
- Improved companies governance
- Review of core enablers (ICT, data and insight, finance, and governance) to ensure fit for purpose

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 function safely
- Zero based budgeting
- Reprioritised digital and ICT improvement programme
- Data and Insight to support service delivery and decision making
- Implement Governance recommendations from MHCLG
 - Service reform; particularly data and insight, revenues and benefits and corporate functions such as finance , IT and HR.
 - Governance (democratic services and scrutiny)

- Financial decisions and processes.
- Corporate governance (including commercial activity)

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: 12th November 2021

Risk 9: Business Continuity and Emergency Planning

Risk Owner: Director of Finance

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 up to date business continuity plan 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 managers
- 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 managers is booked. Awaiting to get e learning package online.
- Training programme to be rolled out in 2022 in line with IT Disaster Recovery Plan.

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	3	Likelihood	3
Impact	4	Impact	54	Impact	2
Score	24	Score	15	Score	6

Date Last updated: 19th November 2021

Risk 10: Workforce recruitment and retention **Risk Owner:** Director of Finance

Description:

If the Council is unable to recruit and retain the required workforce of the right calibre then this will impact service quality and delivery.

Consequence:

- 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

Current Controls:

- 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
- Appraisals and performance management of staff

Actions Required:

- Tracking of specific issues through analysis of exit interviews

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: 12th November 2021

Risk 11: Special Educational Needs and Disability (SEND) Local Area Inspection	Risk Owner: Executive Director People (Children)
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Description:

- The SEND Local Area Inspection took place in September 2021. The report highlighted significant areas of weakness.
- The local area includes the local authority SEND services, Children’s Social Care and Health partners.
- The area is required to produce a Written Statement of Action (WSOA), which needs to highlight how we will address the areas of concern. This will need to be submitted to the Department for Education and approved by Ofsted and CQC.
- There is an approximate timeline of 18 months for improvements to be demonstrated in which Ofsted are likely to be back for inspection again.

Consequence:

- Reputational risk
- Failure to carry out statutory duties
- Vulnerable children not getting the full support they are entitled.

Current Controls:

- Self-Evaluation Form needs updating in light of inspection findings
- Rapid Action Plan created by the LA will be replaced by the WSOA developed with all relevant partners
- Strategic oversight strengthened - Strategic board now meets every 6 weeks

Actions Required:

- Review of current SEND staffing resources and plans to improve functioning of the team
- Implement, with all relevant partners, the WSOA when completed
- Implement Dedicated Schools Grant (DSG) recovery plan in partnership with the Department for Education (DfE)

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

Date Last updated: 25th November 2021

Risk 12: Cyber Security

Risk Owner: Director of Finance

Description:

Failure to adequately protect our information and technology assets against an 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:

- Procured membership of SEGWARP and other government alert agencies
This provides regional alerting on vulnerabilities that SBC needs to be aware of / intelligence sharing / threats / policy development
SBC have also registered with the Cyber Resilience Service for the south east to enable a regional approach to cyber alerting.
- Ensure security patching is up to date and continues regularly.
An interim resource has been engaged to check and apply security patching.
- Periodic and regular 3rd party penetration testing.
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.
- Cyber Security support from market leading 3rd party. Softcat are contracted to provide additional cyber security support. This covers the following
 - Quarterly Security Controls Assessment
 - Breach Assessment annually
 - Security Improvement Programme Leadership

Organisation and Execution of cyber essentials audit action plan. Actions to complete before the end of 2021

Actions Required:

- 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: 18th November 2021

Risk 13: Information Governance and General Data Protection Regulations (GDPR)		Risk Owner: Director of Finance
<p>Description:</p> <p>Failure to resource our ability to respond to GDPR legislation can incur significant fines and reputational damage.</p> <p>GDPR came into force in May 2018. 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 corporate reputation</p> <p>Civil claims for damages</p>		<p>Current Controls:</p> <p>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 (IT business development manager)</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.</p> <p>GDPR training for new starters to minimise breaches of GDPR</p> <p>External review of compliance by Internal Audit</p> <p>Initial data mapping completed by SBC supported by RSM</p> <p>Actions Required:</p> <p>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.</p> <p>Internal Audit for GDPR planned in November 2021.</p>
Inherent Risk	Residual Risk	Target Risk

Likelihood	4	Likelihood	3	Likelihood	1
Impact	3	Impact	3	Impact	3
Score	12	Score	9	Score	3
Date Last updated: 12 th November 2021					

Risk 14: Council Companies

Risk Owner: Director of Finance

Description:

If we fail to review the relevance and rationale for each of the Council's Companies, we open the Council up to potential financial losses, reputational damage and legal challenge.

The Council has a number of subsidiaries and joint ventures to deliver a range of services or address specific issues. Given the Council's current financial and operational circumstances, and issues that have been identified to date, the rationale for continuing to have these companies needs to be reviewed.

In addition, a wide range of governance, management, operational and financial issues have been identified over a number of years and not been addressed. These need to be (a) reassessed to reflect the latest available information relevant to the companies and (b) revised actions implemented. There is a risk of poor service delivery, ineffective decision making, poor oversight, poor value for money and additional reputational and financial risk for the Council (e.g. additional costs, non-repayment of loans, grant clawback)

Consequence:

- Additional financial pressure on existing Council budgets that are not within plan
- Poor service delivery, especially in relation to housing, due to poor contract management and controls

Current Controls:

- Establishment of corporate oversight board for Slough Urban Renewal which may be expanded to include other companies
- Appointment of new directors and senior responsible owners with clarity on roles and reporting
- Establishment of monthly financial reporting from key companies into the Council
- Internal audit tracker for key issues

Actions Required:

A wide range of workstreams are underway with the immediate actions focused on:

- Closing down all dormant companies
- Ground Rent Estates 5 – execution of loan and new financial arrangements; revised financial modelling and financial exposure review; resolution on main works programme; continue to support litigation proceedings; development of exit strategy; establish shareholder oversight group
- James Elliman Homes – complete options review (led by Local Partnerships); Council-led review of service level agreement arrangements including operations, management and finances and implementation of improvements, debt repayment plan; resolve grant allocation and council accounting matters re top-up

- Potential grant clawback across a range of companies which will have implications for the Council. e.g. James Elliman Homes, Ground Rents Estates 5
- Reputational damage to the Council as a result of the failure of a number of high profile initiatives with a national interest. e.g. Nova House
- Key strategic sites are not developed – failure to achieve the Council’s strategic objectives and key outcomes. e.g. Slough Urban Renewal

- payments; and appoint new directors and establish shareholder oversight group
- Slough Urban Renewal – Restructure the Council’s commercial relationship including de-risking and minimising cash outlay. Complete North West Quadrant due diligence/negotiations with Homes England and complete transaction/disposal; Slough Urban Renewal sites – agree revised relationship/investment principles, agree revised heads of terms, approve updated business cases for Montem/Wexham, execute transactional requirements/disposal; reinstate key governance required under the terms of the partnership agreement and obtain approvals for revised business cases/plans

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: 10th November 2021

Risk 15: Staffing Risks within Slough Borough Council and Slough Children First

Risk Owner: Executive Board and Slough Children First Executive Leadership Team

Description:

Inability to recruit and retain staff is impacting the Council's and Slough Children First's ability to deliver its objectives.

Consequence:

Reduced staffing levels are impacting the quality of service being provided to the children, young people and families of Slough.

A higher reliance on agency staff for the Slough Children First (though also difficult to recruit) has a direct impact on budgetary pressures.

Vacancies within the Finance and Commercial services department have resulted in a backlog of work building up in some areas which impact the Council's ability to raise invoices and collect income or taxes.

The statutory scrutiny post is vacant impacting on the delivery of an effective scrutiny function.

High levels of vacancy and turnover leads to inefficiencies due to lack of continuity and impacts staff morale and well-being.

Current Controls:

Slough Children First continue to invest to recruit a permanent workforce including:

- Overseas recruitment campaign in place
- Non-qualified staff being supported to achieve their professional qualifications through Apprenticeship programmes.
- Innovate teams are in place to reduce pressure on teams – though these are an expensive resource
- On-going review of the 'offer' to staff

Finance and Commercial Services:

Review of structure of finance team taking place as part of Departmental business planning post organisational re-structuring.

Interim staff brought in to cover key roles e.g. IT, Revenues & Benefits, Finance.

Actions Required:

Awareness of pressures to be at Executive Board level

Identification of the gaps in capacity and capability in service areas and allocate resource accordingly. Prioritise finance, revenue and benefits, IT and democratic services, including scrutiny.

Permanent recruitment and/or longer-term contract status of all relevant interim positions. In particular, the section.151 officer, Director of Public Health and the Director of Children's Services.

Slough Children First are implementing a number of measures to improve recruitment and retention of staff including:

- Further cohort of international workers
- Additional cohort of workers on the Assessed and Supported Year in Employment (ASYE)
- Supporting the step up programme
- Apprenticeship programme – 3 individuals part of this at the moment
- Review of marketing strategy, with a greater focus on place and through targeted approaches
- Engagement with Department for Education and Local Government Association with regards to alternative approaches/options
- Increased employee regiment activity
- Review of career development pathways
- Review of recruitment process to ensure expedience and compliance
- Review of current agency master vendor contract to ensure value for money

- Increased agencies on preferred supplier list
- Investment in current staff e.g. Staff college programme
- Benchmarking of current offer in comparison to local and statistical neighbours

Inherent Risk		Residual Risk		Target Risk	
Likelihood	6	Likelihood	5	Likelihood	3
Impact	4	Impact	3	Impact	1
Score	24	Score	15	Score	4

Date Last updated: 19th November 2021

6X4 Matrix guidance

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 1	Marginal 2	Critical 3	Catastrophic 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 1	Marginal 2	Critical 3	Catastrophic 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