

**Slough Partnering Highways & Transportation Risk Register**

Area of risk	Inherent Risk Score	Consequences	Mitigation	Risk Owner	Retained Risk score
<b>SBC - Strategic Risks</b>					
Contracts management	7	<ul style="list-style-type: none"> <li>Lack of contract compliance</li> <li>Claims</li> <li>Abortive costs</li> <li>Contract failure</li> </ul>	<ul style="list-style-type: none"> <li>Improve contract monitoring</li> <li>Contract management meetings</li> <li>Penalty clauses applied</li> <li>Performance bonds</li> <li>Pro-active news/press releases</li> <li>PMS/ BMS</li> <li>Annual Reports/ Partnering Plans</li> <li>Satisfaction surveys</li> </ul>	All	3
Strategic direction	5	<ul style="list-style-type: none"> <li>No forward plan</li> <li>No service plan</li> <li>Not meeting LAA indicators</li> <li>Change of Government</li> <li>Proposed reduced number of Directorates</li> </ul>	<ul style="list-style-type: none"> <li>Improve monitoring</li> <li>Political leadership/direction</li> <li>DMT/CMT</li> <li>Directorate plan</li> <li>Service plans</li> <li>Targets</li> <li>PI's etc.,</li> <li>Media/Press releases</li> <li>More communication</li> </ul>	All	3
Delivery of LTP3 targets on Mandatory / Local indicators and BVPI targets.	5	<ul style="list-style-type: none"> <li>Not achieving targets</li> <li>Subsequent financial implications (no funding)</li> <li>Loss of performance standings</li> </ul>	<ul style="list-style-type: none"> <li>Close monitoring</li> <li>Expectation management</li> <li>Setting realistic targets</li> <li>Targeting BVPI/PI/LPI's</li> </ul>	All	3
Data collection and management	3	<ul style="list-style-type: none"> <li>Is the correct data collected and analysed efficiently for purposes of managing performance?</li> <li>Lack of up to date records</li> <li>Loss of revenue (developers)</li> <li>Customer expectations not met</li> </ul>	<ul style="list-style-type: none"> <li>Data audit</li> <li>Service plan monitoring</li> <li>BVPI/PI/LPI reporting/monitoring</li> <li>Updated technology</li> <li>Monthly collection of information</li> <li>Shared filing systems</li> <li>Information on major scheme bids</li> <li>Development of TAMP</li> </ul>	All	1
Failure to define operational structure of the partnership	5	<ul style="list-style-type: none"> <li>Roles not identified</li> <li>Targets missed</li> <li>Abortive work</li> <li>Duplication of work</li> </ul>	<ul style="list-style-type: none"> <li>Structure defined and implemented</li> <li>Regular monitoring/ review</li> </ul>	All	1
Loss of skilled staff / failure to recruit skilled resources	6	<ul style="list-style-type: none"> <li>Targets not achieved</li> <li>Revenue/ capital allocations not spent</li> <li>Lack of forward planning</li> <li>Duplication of work</li> <li>Loss of in-house expertise</li> </ul>	<ul style="list-style-type: none"> <li>Review pay &amp; conditions/harmonisation</li> <li>Review organisational structures</li> <li>Career development/ training</li> <li>Management capability/ training</li> <li>Partnership newsletter</li> <li>Define role and value</li> <li>Management capability</li> <li>Improve communications</li> </ul>	All	3
Impact of restructuring highways and transportation – change management due to Directorate restructuring	7	<ul style="list-style-type: none"> <li>Deterioration of service</li> <li>Loss of staff</li> <li>Poor morale</li> <li>Proposed reduced number of Directorates</li> </ul>	<ul style="list-style-type: none"> <li>Review organisational structures</li> <li>Career development/ training</li> <li>Management capability/ training</li> <li>Partnership newsletter</li> <li>Define roles for scheme design/ implementation</li> <li>Management capability</li> <li>Improve communications</li> <li>introduction of acting up roles</li> </ul>	All	4

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Failure of partnership to deliver / Council image of partnership	5	<ul style="list-style-type: none"> <li>Deterioration of service</li> <li>Political aspirations not met</li> <li>Damage to council image</li> <li>Customer expectation not met</li> <li>Poor results in LAA</li> <li>Reduced funding</li> </ul>	<ul style="list-style-type: none"> <li>Improved, more effective and efficient cross partnership co-operation</li> <li>Focused working groups</li> <li>Key actions – year 3/4</li> <li>Develop Annual Partnership Plan</li> <li>Leadership by the board</li> <li>Clear strategies, plans, processes</li> <li>Member training and management</li> <li>Improve communications</li> <li>PR</li> <li>Continue consultation</li> </ul>	All	1
Programme management	3	<ul style="list-style-type: none"> <li>Non delivery of service</li> <li>Funding expectations not met</li> </ul>	<ul style="list-style-type: none"> <li>Establish monthly programme meeting</li> <li>Highways and Transport co-ordination meeting</li> <li>Network Management Assurance meeting</li> <li>Capital &amp; Revenue Budgets Monthly Meeting</li> <li>Business Management System (BMS)</li> <li>Scheme Information Database (SID)</li> </ul>	All	1
Failure to complete works programme	8	<ul style="list-style-type: none"> <li>Loss of budget</li> <li>Funding taken from future year – therefore less available for new year works.</li> <li>Negative publicity</li> <li>Political aspirations not met</li> <li>Continuity of work/ workforce</li> </ul>	<ul style="list-style-type: none"> <li>Weekly programme meeting established</li> <li>Department scheme forward plan and prioritisation being developed</li> <li>Establish programme early in the financial year</li> </ul>	All	5
Health & Safety	3	<ul style="list-style-type: none"> <li>Death/ injuries</li> <li>Claims</li> <li>Liability</li> <li>Financial implications</li> </ul>	<ul style="list-style-type: none"> <li>Close monitoring</li> <li>Transport &amp; Planning Monthly Team Meeting</li> <li>Floor checks</li> <li>Risk assessments</li> <li>Continual training (Lone working and CDM training for all relevant staff completed)</li> <li>Follow procedures and processes</li> <li>Report near misses</li> <li>Guidance note to be circulate to all staff on wearing of PPE.</li> </ul>	All	1
Equality & Inclusiveness	3	<ul style="list-style-type: none"> <li>Non compliance with Statutory policies</li> <li>Corporate obligation</li> <li>Image of the Council</li> </ul>	<ul style="list-style-type: none"> <li>Transport &amp; Planning Monthly Team Meeting</li> <li>Improve monitoring</li> <li>Continual training</li> <li>Continue consultation</li> <li>Staff updates</li> <li>All projects now include Equality Impact Assessments</li> </ul>	All	1
Statute / Legislation	5	<ul style="list-style-type: none"> <li>Non compliance</li> <li>Legal action</li> </ul>	<ul style="list-style-type: none"> <li>Establish a forward-looking focus group</li> <li>Early warning system</li> <li>Follow Best Practice</li> <li>New KPI for Monthly/Quarterly forward plan</li> </ul>	All	1
Public Enquiry/ Judicial Actions	8	<ul style="list-style-type: none"> <li>Damage to Council image</li> <li>Financial implications</li> <li>Claims</li> <li>Liability</li> </ul>	<ul style="list-style-type: none"> <li>comply with standing orders</li> <li>comply with employment protocols</li> <li>improve record keeping</li> <li>identify potential issue at an early stage</li> <li>involve legal services</li> </ul>	All	6
<b>SBC Financial Risks</b>					
Failure to spend budgets	5	<ul style="list-style-type: none"> <li>Loss of revenue funds.</li> <li>Loss of future allocations.</li> </ul>	<ul style="list-style-type: none"> <li>Up-to-date financial information from Finance Team (aided by engineer's work programme / scheme management) must report through corporate monitoring process</li> <li>Capital &amp; Revenue Budgets Monthly Meeting monitors expenditure</li> <li>Revenues monies lost – capital monies can be rolled over to the next year.</li> </ul>	All	1
Overspending budgets	5	<ul style="list-style-type: none"> <li>Funding taken from future year – therefore less available for new year works.</li> </ul>	<ul style="list-style-type: none"> <li>Up-to-date financial information from Finance Team (aided by engineer's work programme / scheme management) must report through corporate monitoring process</li> </ul>	All	1

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			<ul style="list-style-type: none"> <li>Capital &amp; Revenue Budgets Monthly Meeting monitors expenditure</li> </ul>		
Substantial decrease in budgets	8	<ul style="list-style-type: none"> <li>Government Spending Review</li> <li>Reduction in service</li> <li>Possible cancellation of programmed schemes</li> <li>Loss of staff</li> <li>Poor morale</li> </ul>	<ul style="list-style-type: none"> <li>Review schemes/programme/commitments if budget changes during year, or through budget process</li> <li>Cost savings identified 2011-2014</li> </ul>	JC/SDC	6
Substantial increase in budgets	7	<ul style="list-style-type: none"> <li>Unable to resource</li> <li>Unable to spend allocation (loss of future budget)</li> </ul>	<ul style="list-style-type: none"> <li>Atkins resource with sub-consultants</li> <li>SBC employ additional agency staff</li> <li>continue to advertise to fill vacant posts</li> </ul>	JC/SDC/RN	4
Urgent work	3	<ul style="list-style-type: none"> <li>Other works may be delayed/ cancelled</li> </ul>	<ul style="list-style-type: none"> <li>Consider impact on overall ongoing budget. Request virement if funding pressure</li> </ul>	JC/SDC	1
<b>Operational Delivery Risks/ Atkins</b>					
"political" issues affecting delivery / decisions	7	<ul style="list-style-type: none"> <li>Change of administration changes direction</li> <li>Abortive schemes/ strategies</li> </ul>	<ul style="list-style-type: none"> <li>Management of strategy and policy documents with regular review, dissemination and training to ensure application and transparency in delivery of highway and transportation services</li> <li>Council policies translated into a number of strategies, standards and technical policy documents</li> </ul>	All	5
Availability of Resources due to economic downturn	5	<ul style="list-style-type: none"> <li>Corporate restructuring</li> <li>Loss of staff</li> <li>Loss of productivity</li> <li>Missed deadlines</li> <li>Targets not achieved</li> <li>Loss of funding</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment strategy to establish core permanent staff compliment at SBC</li> <li>Use of appropriate Atkins staff temporarily re-located at Slough</li> </ul>	GW/MN	2
Changing CDM regulations	9	<ul style="list-style-type: none"> <li>Non compliance with regulations</li> <li>Liabilities/ prosecution</li> <li>Delays in programmes</li> </ul>	<ul style="list-style-type: none"> <li>Establish partnership CDM working group to co-ordinate application of CDM in most effective and efficient fashion</li> <li>Training programme in place to keep technical staff up to date</li> <li>CDM refresher courses undertaken for all relevant staff</li> </ul>	JC/AD/BD/DC	3
Adequacy of IT systems	7	<ul style="list-style-type: none"> <li>Loss of productivity</li> <li>Abortive work</li> </ul>	<ul style="list-style-type: none"> <li>IT strategy based upon e-government principles and integrating GIS as an information platform</li> <li>Monitor/ record downtime and any issues</li> <li>Take up issues corporately</li> </ul>	JC/BD	5
IT System Failure – SBC	6	<ul style="list-style-type: none"> <li>Loss of productivity</li> <li>Abortive work</li> </ul>	<ul style="list-style-type: none"> <li>Managed by Slough BC IT – policy and systems with full back up required to be in place</li> </ul>	N/A	2
IT System Failure – Atkins	6	<ul style="list-style-type: none"> <li>Loss of productivity</li> <li>Abortive work</li> </ul>	<ul style="list-style-type: none"> <li>Managed by Atkins IT – policy and systems with full back up</li> <li>Atkins Remote "Access Over the Internet" systems</li> </ul>	N/A	1
Ability shared systems to support partnership working	6	<ul style="list-style-type: none"> <li>Loss of information</li> <li>Duplication of information</li> <li>Loss of productivity</li> <li>Abortive work</li> </ul>	<ul style="list-style-type: none"> <li>Develop partnership IT strategy</li> <li>Slough IT supplemented by Atkins where required</li> </ul>	JC/BD/DC	1
Appropriate hardware and software for efficient service delivery	6	<ul style="list-style-type: none"> <li>Loss of productivity</li> <li>Abortive work</li> </ul>	<ul style="list-style-type: none"> <li>IT resource and action plan required</li> <li>Ad-hoc discussions with Slough IT</li> </ul>	JC/BD	3
Suitable accommodation / space at SBC	7	<ul style="list-style-type: none"> <li>Loss of productivity</li> <li>Inefficient working systems</li> <li>Loss of storage</li> <li>Reduced desk space</li> <li>Relocation of remaining Town Hall staff to SMP</li> <li>Even fewer meeting rooms available</li> <li>Smaller work stations (smaller desk size)</li> </ul>	<ul style="list-style-type: none"> <li>Atkins integrated in accommodation move to SMP</li> <li>Fallback use Atkins accommodation</li> <li>Alternative meeting venues suggested (e.g. Absolute 10 pin!)</li> <li>Additional break out/meeting areas included in new layout</li> </ul>	N/A	4
Quality of delivery	5	<ul style="list-style-type: none"> <li>Targets not achieved</li> <li>Missed deadlines</li> <li>Loss of funding</li> <li>Repeat work</li> </ul>	<ul style="list-style-type: none"> <li>Formal monitoring regime</li> <li>Partnership KPI's</li> <li>Business Management System</li> <li>Scheme Information Database</li> <li>Atkins Quality System</li> </ul>	BD/MN	2
Customer service to external stakeholders	3	<ul style="list-style-type: none"> <li>Non compliance with corporate expectations</li> <li>Customer expectation not met</li> <li>Image of the Council</li> </ul>	<ul style="list-style-type: none"> <li>Customer charter</li> <li>Systematic training</li> <li>KPIs</li> <li>Corporate induction</li> </ul>	BD/MN	1
Records and compatibility with SBC	5	<ul style="list-style-type: none"> <li>Duplication of systems</li> <li>Loss of records</li> </ul>	<ul style="list-style-type: none"> <li>Introduce dual filing system</li> <li>Investigate shared admin. resources</li> </ul>	BD/MN	3

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Risks to personnel (verbal abuse)	7	<ul style="list-style-type: none"> <li>Staff morale</li> <li>Staff welfare</li> </ul>	<ul style="list-style-type: none"> <li>Encourage “near miss” reporting for verbal abuse</li> <li>Health and Safety item included on all meeting agendas (including Team meetings)</li> <li>Ensure personal Risk Assessments capture “near miss” reporting</li> <li>“Near miss” reporting process simplified</li> <li>SBC contact information on line and on notice boards</li> </ul>	All	4

Area of risk	Inherent Risk Score	Consequences	Mitigation	Risk Owner	Retained Risk score
<b>Network Management / Hazard Risks</b>					
Major road traffic accident on Slough roads/ motorways or trunk roads	9	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Information updates on VMS sites</li> <li>Emerge website operational end of November 2013</li> <li><i>New congestion/transport working group set up from April</i></li> </ul>	JC/AD	6
Railway / aviation accident	6	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Information updates on VMS sites</li> <li>Emerge website operational end of November 2013.</li> </ul>	AD	6
Accident involving transport of hazardous materials and potential environmental pollution	6	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Information updates on VMS sites</li> <li>Emerge website operational end of November 2013.</li> </ul>	AD	6
Extreme weather conditions;- <ul style="list-style-type: none"> <li>Storms and gales</li> <li>Flooding</li> <li>Heat wave</li> <li>Low temperature/ snow and ice</li> </ul>	9	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Flooding plan</li> <li>Winter service action plan</li> <li>Emerge website operational end of November 2013.</li> <li>Winter Working Group set up set up</li> </ul>	AD	5
Terrorism incidents/ public order incident or protest	8	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> </ul>	<ul style="list-style-type: none"> <li>Liaise with emergency services</li> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> </ul>	JC/AD	6

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		<ul style="list-style-type: none"> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Information updates on VMS sites</li> <li>Emerge website operational end of November 2013.</li> </ul>		
Highway/ Bridge/ Building damage collapse	8	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Injury/ loss of life</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> <li>Achieving milestones identified in "Management of Highway Structures" Code of Practice</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>Investigate alternative funding opportunities for maintenance of structures</li> <li>Emerge website operational end of November 2013.</li> </ul>	AD	6
Streetworks emergency	7	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Property damage</li> <li>Road repairs</li> <li>Infrastructure damage</li> </ul>	<ul style="list-style-type: none"> <li>Responsibilities identified</li> <li>Response procedures</li> <li>Contact details</li> <li>Corporate emergency plan</li> <li>Designated diversion routes and set up procedures</li> <li>NRSWA notification process</li> <li>Information updates on VMS sites</li> <li>Emerge website operational end of November 2013.</li> </ul>	AD	5
Traffic Signal Failure at key junctions	7	<ul style="list-style-type: none"> <li>Traffic disruption</li> <li>Impact on other planned works</li> <li>Negative publicity</li> </ul>	<ul style="list-style-type: none"> <li>New diversion routes</li> <li>Alternative routes for key junctions (Bridges) developed following recent incident</li> <li>Interactive with UTMC</li> <li>Siemens 2 hour response times</li> <li>Emerge website operational end of November 2013.</li> </ul>	JC/SDC	4