

SBC Corporate Risk Register

All 5 year plan outcomes							
Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
CR 8	Ensuring the effectiveness of resilience plans/ continuity plans for key locations and services. Risk Owner: Dean Trussler Delegated Risk Last Updated: 20 Nov 2020	<p>Description 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>Consequence 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>	<p>I = 4 L = 6 24</p> <p>=</p> <p>=</p>	Dedicated Business Continuity Officer	<p>I = 4 L = 3 12</p> <p>=</p> <p>=</p>	To conclude the delivery programme for implementing Business Continuity Management throughout the authority	<p>I = 2 L = 3 6</p> <p>=</p> <p>=</p>
				External assistance to help develop the plan		<p>Person Responsible: Dean Trussler</p> <p>To be implemented by: 30 Jun 2020</p>	
				There is a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level		<p>Training for managers is booked for June 2020. Awaiting to get e learning package online.</p> <p>Person Responsible: Dean Trussler</p> <p>To be implemented by: 30 Jun 2020</p>	

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240	<p>Cyber Security</p> <p>Risk Owner: Alexander Cowen</p> <p>Delegated Risk Owner:</p> <p>Last Updated: 27 Nov 2020</p>	<p>Description Cyber attacks are increasing globally with increasing levels of success. The IT infrastructure inherited back from arvato is potentially vulnerable. No dedicated cyber security staff were transferred to SBC and there is a limited skill set</p> <p>Consequence There is an inherent risk of security breach and data loss. A successful ransomware attack could leave Council data inaccessible unless a ransom was paid. There is a potential for network downtime and major service disruptions</p>	<p>I = 4 L = 5 20</p> <p>▬</p> <p>▬</p>	<p>Contracted external cyber security resilient service to strengthen response.</p>	<p>I = 3 L = 3 9</p> <p>▬</p> <p>▬</p>	<p>Implement a cyber security plan and programme of work to increase security and reduce vulnerabilities</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p> <p>Ensure annual internal and external penetration testing for independent verification of potential weaknesses.</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p> <p>Review network boundary perimeter protection software (malware protection)</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p>	<p>I = 3 L = 2 6</p> <p>▬</p> <p>▬</p>

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						<p>Increase Comms to staff to raise awareness of best practice and increase awareness (phishing attacks etc)</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p> <hr/> <p>Work to achieving PSN compliance</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p> <hr/> <p>Ensure security patching is up to date</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p> <hr/> <p>Ensure membership of SEGWARP and other government alert</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2020</p>	

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F&A 27	Failure to ensure financial sustainability. Risk Owner: Jo Knight Delegated Risk Owner: Last Updated: 27 Nov 2020	<p>Description Unable to deliver a balanced budget if identified and agreed savings are not made The General fund reserve needs to be kept at the recommended level of £8m A balanced Medium Term financial Strategy for 2021-2026 needs to be produced. Ensuring we provide for all outcomes of legal disputes and update on a regular basis Contract Management needs to be much improved The Our Futures programme design needs to ensure that services are produced that are effective and efficient We need to ensure that the Governance of the organisation is at the forefront of everything we do Slough Children's Services Trust have recently published 2018-19 accounts indicating that there is a material uncertainty to its going concern status due to there being no agreed plan to repay the £4m initial start-up liabilities owed to the Council from July 2021. There is a risk that directors may need to declare insolvency in the next 12 months.</p> <p>Consequence (see next page)</p>	<p>I = 4 L = 5 20</p> <p>=</p> <p>=</p>	Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management	<p>I = 4 L = 4 16</p> <p>=</p> <p>=</p>	Agree future of SCST with DfE and treatment of liabilities Person Responsible: Neil Wilcox To be implemented by: 31 December 20	<p>I = 4 L = 2 8</p> <p>=</p> <p>=</p>
				External experts used to carry out financial analysis. 5 Year Plan in place		On-going system of budget monitoring by accountants with DMT's and take immediate action to mitigate any overspends if identified in year	
				Legal advice obtained on historic SCST liabilities		Person Responsible: Jo Knight To be implemented by: 31 Mar 2021	
				SBC Finance working closely with SCST Finance to agree transparent financial reporting mechanisms		Consider the financial implications of Covid 19 Person Responsible: Jo Knight To be implemented by: 31 Mar 2021	
				SCST financial position included in Quarterly Cabinet Monitoring Reports			




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		<p>Failures or delays in the Council delivering its savings targets for the forthcoming financial year; or increased in-year demands on its services, over and above those anticipated during the budget setting process, would result in the Council needing to make in-year savings which will in turn impact the quality of services that can be delivered and result in a failure to meet the corporate objectives.</p> <p>If SCST were to be deemed insolvent, or no realistic plan from SCST for repaying its liabilities is forthcoming, the Council may be unable to recover its debts. This would require the Council to utilise 34% of its estimated general reserves (at the end of 2020/21) and would leave the Council's reserves at only £1.3m more than the Section 151 Officer has deemed the absolute minimum in the 2020/21 Revenue Budget report to address any other, as yet, unknown negative financial scenarios (eg unrealised savings targets, increased service demand etc.).</p> <p>If the government income doesn't meet.</p>					

Slough children will grow up to be happy, healthy and successful.							
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33	Failure of Children's Social Care Risk Owner: Josie Wragg Delegated Risk Owner:	<p>Description Children's social care services are currently judged as RI having improved from Inadequate. It is important that the improvement journey continues Slough Children's Services Trust have recently published 2018-19 accounts indicating that there is a material uncertainty to going concern status due to there being no agreed plan to repay liabilities to the Council. There is a risk that directors may need to declare insolvency in the next 12 months. The publication of these accounts may lead to reputational damage to SCST and potentially to a lack of confidence from providers and staff. This in turn may impact negatively on outcomes for children. The Covid emergency has placed additional pressures on children's social care and higher caseloads have exacerbated issues with the recruitment of social workers.</p> <p>Consequence Poor outcomes for vulnerable children include risks to safeguarding.</p>	I = 4 L = 5 20 	<p>SBC Director of Children's Services attending SCST board as an observer and receiving all papers.</p> <p>Contract Monitoring Monthly Review and Quarterly partnership Board - SBC receive regular budget monitoring reports including updates on savings and on progress with implementation of additional financial controls by SBC. Contract KPI and progress against the improvement plan is also monitored at these meetings. Finance directors from SBC and SCST met regularly as does the Chief Exec of SCST and the SBC Director of Children's Services.</p> <p>Joint Parenting Panel i.e. through the Corporate Parenting Strategy and related Action Plan, that JPP ensures the effective discharge of the corporate parenting role.</p> <p>Regular high level discussions with DfE about the best model for the future sustainable delivery of children's services. Discussions are supported by external reports and an independent advisor.</p> <p>Review of model for delivery of children's services from undertaken in partnership with SCST, DfE and external partners</p>	I = 4 L = 4 16 	<p>Consider service and contractual requirements. Ensure that we agree future model with DfE.</p> <p>Person Responsible: Josie Wragg</p> <p>To be implemented by: 31 December 2020</p>	I = 3 L = 4 12 

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				Revised improvement Action Plan. Progress on the plan reported annually to SBC Education and Children's Services Scrutiny Panel Transition steering Group established chaired by DfE Commissioner to oversee move to new model and progress with improvement			

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Slough will attract, retain and grow businesses and investment to provide jobs and opportunities for our residents

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38	information Governance and GDPR Risk Owner: Alexander Cowen Delegated Risk Owner: Last Updated: 27 Nov 2020	<p>Description GDPR came in May 2018. . 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>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 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	I = 3 L = 2 6 ↓	Person Responsible: To be implemented by:	I = 3 L = 2 6 =