


Corporate Risk Register

CRR by Risk

Corporate Risks with Current Risk Rating

Action Required	Person Responsible	Current Rating 
- Description: Preparedness for OFSTED Inspections OFSTED could announce inspections into Quality and Delivery of school Services, and/or The Provision of Special Needs Education.		
- Potential Trigger Events: These inspections can be announced at anytime. There is a lack of service plans. There no appropriate KPI's		
- Potential Consequences: Adverse reports from OFSTED will cause reputational damage, possibly on a national level.		
Self Improvement Documents are being prepared for both areas	Rodney D'Costa	
- Description: Failure of Slough Children's Services Trust to deliver required improvements		
- Potential Trigger Events: The Council has only limited control over the SCST and must work with SCST to improve services		
- Potential Consequences: Further intervention from the Secretary of State Children and families do not receive the services they need Request for additional funding from the council		
- Description: The efficient delivery of business critical operations and projects is being put at risk by the dependency on a "single person" This has been identified by both the monthly Programme Management Office report and the Risk Management Group		
- Potential Trigger Events: Prolonged absence to a member of the Senior Leadership team Increasing demands on senior management to deliver more and complicated projects Timescales for delivery of tasks and projects reduced		
- Potential Consequences: Delivery of Business critical tasks is delayed, temporary resources are needed to be drafted in, projects exceeds budget. Business critical tasks are no done or left unfinished Increased level of errors may occur		
		High
- Description: Data Security Robust policies procedures to deal with the handling of data Increased responsibilities due to the General Data Protection Regulation.		
- Potential Trigger Events: Insufficient training of staff Loss/theft of paperwork. Data sent to work recipient Email to the wrong recipient Insecure web-page Insecure disposal of paperwork		
- Potential Consequences: Fines from the ICO Advising users that their personal data has been compromised Providing credit agency facility to affected third parties Rebuild of IT systems Reputational damage		
The Corporate IT Security Policy will be reviewed and updated to ensure it reflects the current arrangements and processes for information security within the Council. Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff and made accessible via the intranet. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.	Simon Pallett	High
The Council will ensure that, as part of the review and re-scoping of the contracts database, fields are included for evidencing the review of contracts for appropriate clauses relating to; • Data protection; and • Requirements for reporting information governance incidents.	Simon Pallett	High
The Council will undertake a data flow mapping exercise to ensure all flows, both inbound and outbound, of person identifiable and sensitive information in all service areas have been identified mapped and recorded. The information flows will be risk assessed, with necessary actions identified to address risks highlighted. The	Simon Pallett	High

outcome of the mapping exercise and the risks identified will be reviewed by the IT and Information Governance Board, prior to subsequently being reported to CMT.		
The Information Security Awareness course will be reviewed and updated to ensure the content is reflective of current arrangements and also includes reference to the Caldicott Principles and the processes for ensuring compliance with the Freedom of Information Act. In addition, the Council will consider merging the Information Security Awareness and Data Protection Awareness courses to provide a single course covering data protection and information governance.	Simon Pallett	High
A Data Quality Policy will be developed which will set out the processes and mechanisms for ensuring the quality of data used for decision-making across the Council, including the validation of data. The policy will outline the responsibilities of all staff, as well as specific, lead roles, in ensuring the quality of data. Roles will be formally assigned to staff with responsibilities for leading on data quality within the Council. Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff and made accessible via the intranet. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.	Simon Pallett	High
The Information Governance Policy will be reviewed and updated to ensure it reflects the arrangements and processes within the Council, in line with the HSCIC guidance,	Roger Parkin	High
The Council will review the current staffing resources in relation to information governance to ensure sufficient resources are in place to appropriately oversee information governance arrangements and responsibilities per the HSCIC guidance are formally assigned.	Roger Parkin	High
The Council will develop and finalise the IG Improvement Plan to identify the actions necessary to embed robust IG arrangements and ensure compliance with the HSCIC IG toolkit requirements. Each action will be assigned a responsible owner and completion deadline. The plan will be reviewed and revised on an annual basis and will be subject to approval by the IT and Information Governance Board. It will drive the IG agenda within the Council and progress against the plan will be monitored at each meeting of the IT and Information Governance Board, with progress updates reported to CMT periodically.	Simon Pallett	High
The Data Protection and Privacy Policy will be reviewed and updated to ensure it details; • The requirement for the Council to have in place a Caldicott function; • The specific resources within the Council to fulfil the roles within the function, including the Caldicott Guardian, Data Protection Officer as well as those staff at directorate level with responsibility for supporting the Caldicott Guardian; • The additional training requirements for staff within the function; • The mechanisms for ensuring the effectiveness of the function, including the development and monitoring of an annual data protection work programme which identifies the work necessary to ensure the Council meets its data protection and confidentiality obligations; and • The governance arrangements for monitoring the effectiveness of the function.	Simon Pallett	High
An annual data protection work programme will be developed to identify the work necessary to ensure the Council meets its data protection and confidentiality obligations. Clearly defined timescales and responsible owners will be assigned for all actions identified. The work programme will be reviewed and set on an annual basis and will be subject to approval by CMT. Progress will be monitored at each meeting of the IT and IG Board, with progress updates reported to CMT periodically.	Simon Pallett	High
The Council will ensure that a robust framework is established and maintained for records management, including the use and monitoring of retention schedules. The Records Management Policy will subsequently be updated to reflect these	Simon Pallett	High

processes and the responsibilities of all staff as well key staff roles in relation to records management. Once updated, the policy will be presented to the IT and IG Board for approval, and then subsequently circulated to staff and made accessible via the intranet. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.		
A formalised process will be implemented for reporting, recording, investigating and managing information security incidents, which will be reflected within the Information Security Incident Reporting Policy. Once updated, the policy will be presented to the IT and Information Governance Board for approval, and then subsequently circulated to staff, made accessible via the intranet and communicated to third party providers and partner organisations. The policy will be reviewed annually thereafter, with version control included within document to record approval and next review details.	Simon Pallett	High
The Council will ensure that an Information Sharing Protocol is agreed with statutory agencies and partner organisations to govern the sharing of person identifiable and sensitive information. Information Sharing Agreements (ISA) will be subject to review and approval by the IT and IG Board prior to being entered into to ensure they conform to the requirements of the established protocol, and these will be retained in a central repository. The agreed protocol will be communicated to all staff via the staff intranet as well as within the updated Data Protection and Privacy Policy, together with the requirement for ISAs to be approved by the IT and Information Governance Board. The agreed protocol will also be communicated on the Council website.	Simon Pallett	High
As part of the review of training needs, the Council will ensure the inclusion of IG training as part of induction. In addition, a review will be undertaken to ensure the additional training needs of staff within specialist IG roles are identified and addressed. The training needs document will be updated to include the requirement for IG induction to be provided as part of induction, as well as the training requirements for staff within specialist IG roles.	Simon Pallett	High

- Description: **Increased Level of Homelessness Concerns over the increased levels and knock-on effects of Homelessness**

- Potential Trigger Events: Slough is dependent on the private rented sector. Due to economic growth private sector landlords are able to increase rents. These rent increases are now becoming too expensive for families on relatively modest incomes Benefits won't cover the cost of rent London Borough's securing deals with local landlords to place their homeless in Slough Within the council housing stock there is a disproportionate number of 1 bedroom flats		
- Potential Consequences: Severe overcrowding Increased costs and demand in the Temporary Accommodation team Disruption to quality of life to homeless Reputational Damage		
Joining up with other departments to bid for DCLG funding	Paul Thomas	Medium-High

- Description: **Business Continuity The Council requires robust Business Continuity Plans in the event of an incident or series of incidents that affects the Council's ability to provide essential services**

- Potential Trigger Events: Lack of tested Business Continuity Plans that deal with: Failure of key contractor Large scale absence of staff due to illness Loss of IT systems Loss or denial of access to key buildings Weather related e.g. snow		
- Potential Consequences: Inability to deliver essential services Delays in payment to staff, suppliers etc. Inability to access vulnerable users records/needs Damage to reputation/national media coverage Senior staff dealing with both Emergency and Business Continuity General public unable to access services		
The Council will review the current staffing resources in relation to business continuity to ensure sufficient resources are in place to appropriately oversee business continuity arrangements.	Joe Carter	Medium-High
A formal group will be established to oversee the Council's business continuity agenda.	Joe Carter	Medium-High
The Council will establish and maintain a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level	Joe Carter	Medium-High
A formal programme of business continuity training will be developed and delivered to staff	Joe Carter	Medium-High

	A formal and documented process will be established, implemented and maintained for exercising and testing business continuity procedures in order to assess their effectiveness.	Joe Carter	Medium-High
	The Council will review the current staffing resources in relation to business continuity to ensure sufficient resources are in place to appropriately oversee business continuity arrangements.	Joe Carter	Medium-High
	The plans that are in place need to be brought under a corporate Business Continuity framework	Joe Carter	Medium-High
- Description: Adult Safeguarding Failure to protect adult social care users from physical, emotional, financial abuse			
- Potential Trigger Events: Poorly trained staff or lack of training for staff provided by agencies Lack of robust multi-agency policy and procedures that are in line with national guidance and no assurance that these guidelines are being followed Lack or resources to undertake the necessary work to protect vulnerable adults at risk Lack of engagement and involvement with other agencies such as the Police, NHS, and voluntary section organisations Lack of monitoring of personal budgets provided to service users			
- Potential Consequences: Physical harm to user Care Quality Commission investigation Police investigations Prosecutions of staff/contractors third parties More serious cases will involve national media coverage and scapegoating Fines and legal costs Lengthy Investigations taking up management time			
			Medium-High
- Description: Management of Major Contracts The Council requires robust contract management to ensure that the benefits and efficiencies of the contract are delivered.			
- Potential Trigger Events: Contract management arrangements are not properly developed. Insufficient resources are dedicated to contract management. Poor specification RMI and waste contracts are all out for tender			
- Potential Consequences: Contracts poorly perform Efficiencies and benefits not realised Financial overspends Increased incidence of fraud Increased management time dealing with poorly performing contracts Damage to reputation Increased number of Member complaints			
	Appoint contract managers for all contracts	Mike England	Medium-High
- Description: Failure to Deliver balanced Budget The council has a duty to set and deliver a balanced budget			
- Potential Trigger Events: Insufficient budget monitoring Increased demand from demand led services Project overspend Reduction in business rate income			
- Potential Consequences: Qualified external audit opinion Need cut/reduce service provision to meet shortfall Increased attention from central Government. Damage to reputation			
	Develop and Implement Savings Plan	Neil Wilcox	Medium-Low
	Carry on with Monitoring	Neil Wilcox	Medium-Low
	On-going training for Managers	Neil Wilcox	Medium-Low

Location: Slough Borough Council