

SBC Corporate Risk Register






APPENDIX 1

Report Date	18 Jul 2019
Risk Status	Open
Comparison Date	In the past 3 Month(s)
Risk Level	
Control Status	Existing
Action Status	Outstanding




SBC Corporate Risk Register

Risk Ref	Risk Title	Risk Owner	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.	Dean Trussler	<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>	I = 4 L = 6 24	<p>Dedicated Business Continuity Officer</p> <p>External assistance to help develop the plan</p> <p>There is a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide level</p>	I = 4 L = 5 20	<p>A formal programme of business continuity training will be developed and delivered to staff covering, but not limited to; • The roles and contributions of staff to the effectiveness of BCM within the Council</p> <p>Person Responsible: Dean Trussler</p> <p>To be implemented by: 31 Jul 2019</p> <p>To conclude the delivery programme for implementing Business Continuity Management throughout the authority</p> <p>Person Responsible: Dean Trussler</p> <p>To be implemented by: 31 Jul 2019</p>	I = 2 L = 3 6







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136	Termination of arvato contract	Neil Wilcox	<p>Description</p> <p>The Council leadership have decided to terminate the contract with arvato w.e.f. 1st Nov 2019. and bring the services back in house.</p> <p>The original termination date of the contract was 2022.</p> <p>The Council now has to TUPE staff back into the council and set up appropriate management structures.</p> <p>Consequence</p> <p>Reduction in income collection arvato indifference to fulfilling the terms of the existing contract. Late payment to creditors Halting of various ICT projects with impacts on other major projects Opportunity to reshape the delivery of key inward and outward facing services Damage to reputation</p>	I = 4 L = 5 20  	Council-wide arvato group set up Internal Governance set up Project group set up RAID log jointly managed Strategic Meetings every month to ensure business as usual	I = 3 L = 3 9 	Person Responsible: To be implemented by:	I = 3 L = 3 9  

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CR 2	Failure to ensure financial sustainability.	Neil Wilcox	<p>Description The revenue support grant is declining whilst the population in the Borough is growing. In addition there is an increasing demand for the Council's Services. Efficiency savings still need to be made to reduce expenditure, whilst the financial sustainability of the Council in the longer term is reliant on increased levels of income being generated by attracting new businesses to the area. There is limited ability to increase income due to uncertainties over BREXIT and the impact this may have on the Council's ability to raise income.</p> <p>Consequence Failures or delays in the Slough Urban Regeneration programme is likely to produce an extended period of lower than expected income which will in turn impact the quality of services that can be delivered and result in a failure to meet the corporate objectives. Failures or delays in the Slough Urban Regeneration programme is likely to produce an extended period of lower than expected income which will in turn impact the quality of services that can be delivered and result in a failure to meet the corporate objectives. Reputational Damage</p>	I = 4 L = 4 16 	Assessment of the impact of Brexit on Council finances Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management External experts used to carry out financial analysis. 5 Year Plan in place Medium term financial strategy	I = 4 L = 2 8 	Person Responsible: To be implemented by:	I = 4 L = 2 8 

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CR 11	Ensuring the Council's internal control environment is fit for future.	Neil Wilcox	<p>Description Continued changes in personnel / vacancy / service change have resulted in loss of corporate memory and deterioration in the control framework including adherence with policy, systems, process and procedures. This can result in decisions being made without a firm policy footing or decisions being made often late or without sufficient due process etc. This is applicable to both officers and members.</p> <p>Consequence The Council is therefore at greater risk of being challenged or making a poor decision with sub optimal outcomes.</p>	I = 3 L = 5 15 	Reviewed Code of Conduct for 2018 Reviewed Constitution RSM Internal Audit provides assurance Implementation of Agresso has increased controls There is a programme of reviewing HR policies Updated financial procedure rules	I = 3 L = 3 9 	Complete the review of the constitution. Person Responsible: Sushil Thobhani To be implemented by: 31 Jul 2019	I = 2 L = 2 4 
A&C 8	Ensuring that the Frimley Integrated Care System (ICS) reaches a satisfactory agreement between all the partners.	Alan Sinclair	<p>Description Slough needs to deliver a sustainable Health & Care system</p> <p>There are 13 partners on the Board including acute hospital trusts, community trusts and CCGs.</p> <p>Consequence Failure of sufficient funds to be transferred to the Council to provide the social care will result in the Council not agreeing with the consequential reputational damage or the Council being put under greater financial pressure.</p> <p>Slough does not get enough focus to deliver what it needs to deliver</p>	I = 3 L = 4 12 	A voting member of the board Reports are sent to the Wellbeing board and to Scrutiny Panel There is a Wellbeing Board alliance	I = 2 L = 3 6 	Person Responsible: To be implemented by:	I = 2 L = 3 6 

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38	information Governance and GDPR	Simon Pallett	<p>Description GDPR comes in May 2018. At present there appears to be no clear pathway to implementation.</p> <p>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>As the "go-live" date for GDPR approaches this 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 The Corporate Addendum has been accepted.	I = 3 L = 3 9 = =	advertise Data Protection officer post Person Responsible: Simon Pallett To be implemented by: 30 Jun 2019	I = 3 L = 2 6 = =

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78	Health & Safety in Properties	Colin Moone	<p>Description if Properties are not being checked e.g. Gas Certs etc., then there could be a detrimental effect to the department as well as the organisation.</p> <p>Currently in the process of checking/inspecting safety risks of buildings. May be a high risk of fires as we SBC are still investigating.</p> <p>Consequence Reputational damage Injury to clients/users</p>	<p>I = 4 L = 2 8</p> <p>=</p> <p>=</p>	<p>Ensure that regular safety risks are being conducted and that we are liaising with the correct departments. Also monitoring this regularly and putting the customers first if there are any safety issues. Making sure that we understand the procedure and that it is consistent when dealing with Emergency Planning.</p> <p>Having a dedicated Supply Manager/Property Acquisitions who will be responsible to these checks. They will conduct checks on a regular basis.</p>	<p>I = 2 L = 2 4</p> <p>=</p> <p>=</p>	<p>Coordinate whose responsibility it is to conduct these checks - and follow up</p> <p>Person Responsible: Colin Moone</p> <p>To be implemented by: 31 Jul 2019</p>	<p>I = 2 L = 1 2</p> <p>=</p> <p>=</p>