

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 business continuity plans for key locations and services. Risk Owner: Dean Trussler Delegated Risk Owner: Last Updated: 19 Jul 2021	<p>Description The Council's business continuity plan was last reviewed in 2019.. The internal Audit review in 2021 has provide a partial assurance. 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 To I = 4 L = 6 24</p> <p>=</p> <p>=</p>	Emergency Planning and Business Continuity awareness programme delivered to mangers	<p>I = 4 L = 3 12 To I = 4 L = 3 12</p> <p>=</p> <p>=</p>	Training for mangers is booked. Awaiting to get e learing package online. Training programme to be delivered by December 2021	<p>I = 2 L = 3 6 To I = 2 L = 3 6</p> <p>=</p> <p>=</p>
				Emergency Planning and Business continuity lead in place		Person Responsible: Dean Trussler	
				External assistance to help develop the plan		To be implemented by: 31 Dec 2021	
				There is a documented process for undertaking business impact analysis and risk assessments at Service, Directorate and Council-wide		To implement a plan to review Business Continuity Management in response to the organisation restructure and availability of IT Disaster Recovery Person Responsible: Dean Trussler To be implemented by: 31 Dec 2021	

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F&A 27	<p>Financial sustainability, accounting, processes, commercial and other matters</p> <p>Risk Owner: Steven Mair</p> <p>Delegated Risk Owner:</p> <p>Last Updated: 19 Jul 2021</p>	<p>Description The Council faces a financial situation of an extremely serious nature: with a significant estimated unfunded financial deficit forecast. The approach to financial decision-making, leadership and management, processes, quality assurance and review, financial governance etc that has been adopted by the Council over a number of years was not robust and consequently highly detrimental to the Council. Contract Management also needs to be much improved</p> <p>Consequence The Council is now actively tackling its financial position and issues. Failure to have done so would have rendered the Council unable to fulfil its duties and acting illegally</p>	<p>I = 4 L = 5 20 To I = 4 L = 6 24</p> 	<p>The Council has recently appointed a new S151 officer. Additional specialist resources have been brought in to understand the nature and scale of the problems, which has culminated in the issuing of a s114 Report on 2nd July.</p>	<p>I = 4 L = 4 16 To I = 4 L = 4 16</p> 	<p>The S114 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 S151 officer, working with colleagues, is leading on its implementation.</p> <p>Person Responsible: Steven Mair</p> <p>To be implemented by: 31 Mar 2022</p>	<p>I = 4 L = 2 8 To I = 3 L = 3 9</p> 

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240	<p>Cyber Security</p> <p>Risk Owner: Alexander Cowen</p> <p>Delegated Risk Owner:</p> <p>Last Updated: 19 Jul 2021</p>	<p>Description</p> <p>Cyber attacks are increasing globally with increasing levels of success. The IT infrastructure inherited back from arvato is known to be neglected and potentially vulnerable. No dedicated cyber security staff were transferred to SBC and there is limited skill set</p>	<p>I = 4 L = 5 20 To I = 4 L = 5 20</p> <p style="text-align: center;">=</p> <p style="text-align: center;">=</p>	<p>Contract external cyber security resilient service to strengthen response with Softcat security service. Quarterly Security Controls Assessment</p> <p>Breach Assessment for 3 Vectors annually</p> <p>Security Improvement Programme Leadership</p> <p>Core Security Policies</p>	<p>I = 3 L = 3 9 To I = 3 L = 3 9</p> <p style="text-align: center;">=</p> <p style="text-align: center;">=</p>	<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: 30 Sep 2021</p>	<p>I = 3 L = 2 6 To I = 3 L = 2 6</p> <p style="text-align: center;">=</p> <p style="text-align: center;">=</p>
		<p>Consequence</p> <p>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>Network boundary perimeter protection software (malware protection) are using a supported version of a product made by Clearswift, which have antivirus engines built in</p>		<p>Work to achieving PSN compliance</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 30 Sep 2021</p>	
						<p>Ensure security patching is up to date</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 30 Sep 2021</p>	
						<p>Ensure membership of SEGWARP and other government alert agencies</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 30 Sep 2021</p>	

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						<p>Implement a cyber security plan and programme of work to increase security and reduce vulnerabilities, open actions are being addressed through the refresh of equipment</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Dec 2021</p> <hr/> <p>Ensure there is an updated assessment of 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 2021</p>	

Slough children will grow up to be happy, healthy and successful.

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33	<p>Failure of Children's Social Care</p> <p>Risk Owner: Josie Wragg</p> <p>Delegated Risk Owner:</p> <p>Last Updated: 19 Jul 2021</p>	<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..</p> <p>Consequence Poor outcomes for vulnerable children include risks to safeguarding.</p>	<p>I = 4 L = 5 20 To I = 4 L = 5 20</p> <p>=</p> <p>=</p>	<p>Interim DCS/Chief Executive appointed and recruitment process in place to recruit to permanent post.</p> <p>6-weekly contract monitoring meetings take place, including a review of performance against KPIs. Quarterly meetings of the Strategic Commissioning Group. SBC receive regular budget monitoring reports including updates on savings and on progress with implementation of additional financial controls by SBC.</p> <p>Finance directors from SBC and SCF meet regularly. Regular Transition Steering Group meetings with the Company, DfE, Commissioner and SBC senior officers in attendance. Review of rapid Improvement Plan, recommendations from DfE with counter response from SBC</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>I = 3 L = 4 12 To I = 3 L = 4 12</p> <p>=</p> <p>=</p>	<p>Person Responsible:</p> <p>To be implemented by:</p>	<p>I = 3 L = 4 12 To I = 3 L = 4 12</p> <p>=</p> <p>=</p>

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				<p>Regular Transition Steering Group meetings with Trust representatives, DfE, Commissioner and SBC senior officers in attendance. PeopleToo have been commissioned to conduct business analysis work. Transition Project Group to ensure individual workstreams are progressed to enable "go live" for new arrangements by 1 April 2021.</p> <p>Review of model for delivery of children's services undertaken in partnership with SCST, DfE and external partners</p>			

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A&I 5	SALT Services Risk Owner: Johnny Kyriacou Delegated Risk Owner: Last Updated: 19 Jul 2021	<p>Description Speech and language therapy services constitutes as special educational provision outlined by the Children’s Act 2014 and SEND Reforms.</p> <p>Where SALT needs are identified in an Education and Health Care Plan, the Council is duty bound to meet the needs. The current investment in SALT service is inadequate, with increasing demand and numbers of SALT needs identified, current estimates place the investment with meeting approximately 70% of needs and a 3 year waiting list.</p> <p>Consequence The lack of investment in SALT provision has led to increased wait times and insufficient supply. This will inevitably lead to a growing number of tribunal complaints, and noncompliance with the statutory framework</p> <ul style="list-style-type: none"> • Damage to reputation • Risk of noncompliance with statutory framework • Risk of failure to meet strategic objectives of the Council 	I = 3 L = 4 12 To I = 3 L = 4 12 =	Actions are in the process of being completed	I = 3 L = 3 9 To I = 3 L = 3 9 =	<p>Establish a market of independent SALT providers with competitive pricing models for schools to make own arrangements, where appropriate.</p> <p>Person Responsible: Johnny Kyriacou To be implemented by: 30 Sep 2021</p> <p>Investment in preventative tools to help with early identification and response in schools, thereby delay and reduce the need for specialist intervention need</p> <p>Person Responsible: Johnny Kyriacou To be implemented by: 30 Sep 2021</p> <p>Work with East Berks CYPIT group to establish a new service to meet needs of local children</p> <p>Person Responsible: Johnny Kyriacou To be implemented by: 31 Mar 2022</p>	I = 3 L = 3 9 To I = 3 L = 3 9 =

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: 19 Jul 2021	<p>Description GDPR came in May 2018. .</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>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 Damage to reputations Civil Claims for damages</p>	I = 3 L = 4 12 To I = 3 L = 4 12 =	Data Protection Informations assessment External review of compliance by RSM Initial data mapping completed by RSM Interim Data Protection Officer appointed	I = 3 L = 2 6 To I = 3 L = 2 6 =	Recruitment of permanent Data Protection Officer Person Responsible: Alexander Cowen To be implemented by: 31 Mar 2022	I = 3 L = 2 6 To I = 3 L = 2 6 =