

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 Last Updated: 19 Feb 2021	<p>Description The Council's business continuity plan was last reviewed in 2013. The internal audit report in 2016 provided no assurance that adequate controls are in place. The internal Audit review in 2021 has provided 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>	I = 4 L = 6 24	Dedicated Business Continuity Officer	I = 4 L = 3 12	<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: 30 Jun 2021</p> <p>Training for mangers is booked. Awaiting to get e learning package online. Training programme to be delivered by December 2021</p> <p>Person Responsible: Dean Trussler</p> <p>To be implemented by: 31 Dec 2021</p>	I = 2 L = 3 6
				Emergency Planning and Business Continuity awareness programme delivered to mangers			

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240	Cyber Security Risk Owner: Alexander Cowen Last Updated: 19 Feb 2021	Description 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 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	I = 4 L = 5 20	Contract with external cyber security resilient service to strengthen response with Softcat security service.	I = 3 L = 3 9	Implement a cyber security plan and programme of work to increase security and reduce vulnerabilities	I = 3 L = 2 6
				Security Improvement with Programme Leadership		Person Responsible: Alexander Cowen To be implemented by: 31 Mar 2021	
				Quarterly Security Controls Assessment		Ensure annual internal and external penetration testing for independent verification of potential weaknesses.	
				Breach Assessment for 3 Vectors annually		Person Responsible: Alexander Cowen To be implemented by: 31 Mar 2021	
				Core Security Policies		Review network boundary perimeter protection software (malware protection) Person Responsible: Alexander Cowen To be implemented by: 31 Mar 2021	

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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 Mar 2021</p> <hr/> <p>Work to achieving PSN compliance</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Mar 2021</p> <hr/> <p>Ensure security patching is up to date</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Mar 2021</p> <hr/> <p>Ensure membership of SEGWARP and other government alert</p> <p>Person Responsible: Alexander Cowen</p> <p>To be implemented by: 31 Mar 2021</p>	

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F&A 27	Failure to ensure financial sustainability. Risk Owner: Jo Knight Last Updated: 19 Feb 2021	<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 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 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>	I = 4 L = 5 20	<p>Budget Monitoring Reports to Members, Corporate Management Team, Departmental Management</p> <p>External experts used to carry out financial analysis. 5 Year Plan in place</p> <p>Legal advice obtained on historic SCST liabilities</p> <p>SBC Finance working closely with SCST Finance to agree transparent financial reporting mechanisms</p> <p>SCST financial position included in Quarterly Cabinet Monitoring Reports</p>	I = 4 L = 4 16	<p>Consider the financial implications of Covid 19 Person Responsible: Jo Knight To be implemented by: 31 Mar 2021</p> <p>Agree future of SCST with DfE and treatment of liabilities Person Responsible: Neil Wilcox To be implemented by: 31 Mar 2021</p> <p>On-going system of budget monitoring by accountants with DMT's and take immediate action to mitigate any overspends if identified in year Person Responsible: Jo Knight To be implemented by: 31 Mar 2021</p>	I = 4 L = 2 8

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

Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
33	<p>Failure of Children's Social Care</p> <p>Risk Owner: Josie Wragg</p> <p>Last Updated: 19 Feb 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 recruitment of social workers.</p> <p>Consequence Poor outcomes for vulnerable children include risks to safeguarding.</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>	I = 4 L = 5 20	<p>Interim DCS/Chief Executive appointed and recruitment process in place to recruit to permanent post.</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. Finance directors from SBC and SCST meet regularly. Regular Transition Steering Group meetings with Trust representatives, DfE, Commissioner and SBC senior officers in attendance. Review of improvement plan.</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 Transition Steering Group meetings with Trust representatives, DfE, Commissioner and SBC senior officers in attendance. People Too 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>	I = 3 L = 4 12	<p>Person Responsible:</p> <p>To be implemented by:</p>	I = 3 L = 4 12

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Risk Ref	Risk Title	Description & Consequence	Inherent Risk Priority	Risk Control	Residual Risk Priority	Action Required	Target Risk Priority
				Review of model for delivery of children's services undertaken in partnership with SCST, DfE and external partners			
A&I 5	<p>SALT Services</p> <p>Risk Owner: Johnny Kyriacou</p> <p>Last Updated: 19 Feb 2021</p>	<p>Description</p> <p>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 30 % of needs and a 3 year waiting list.</p> <p>Consequence</p> <p>The lack of investment in SALT provision has led to increased wait times and insufficient supply. This may lead to a growing number of tribunal complaints, and non compliance with the statutory framework.</p> <ul style="list-style-type: none"> • Damage to reputation • Risk of Non-compliance with statutory framework • Risk of failure to meet strategic objectives of the Council 	I = 3 L = 4 12	<p>Actions are in the process of being completed</p>	I = 3 L = 3 9	<p>Meet with current provider to reconfigure and prioritise cases</p> <p>Person Responsible: Johnny Kyriacou</p> <p>To be implemented by: 31 Mar 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</p> <p>To be implemented by: 31 Mar 2021</p> <p>Work with East Berks CYPIT group to establish a new service to meet needs of local children. Bid for additional resources to be made</p> <p>Person Responsible: Johnny Kyriacou</p> <p>To be implemented by: 31 Mar 2021</p>	I = 3 L = 3 9

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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 Last Updated: 19 Feb 2021	<p>Description GDPR came in May 2018. There needs to be a corporate and local response to the implementation of GDPR. 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 reputation / Civil Claims for damages</p>	I = 3 L = 4 12	<p>Data Protection Impact Assessments undertaken(DPIAs)</p> <p>External review of compliance by RSM scheduled for 21/22</p> <p>Initial data mapping completed by RSM</p> <p>Interim Data Protection Officer appointed</p>	I = 3 L = 2 6	<p>Person Responsible:</p> <p>To be implemented by:</p>	I = 3 L = 2 6