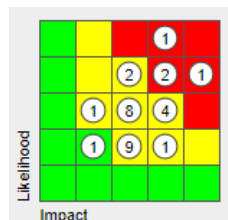












































SLT – Summary Corporate Risk Register

Quarter Four Reviews: January – March/April 2022



Risk Code	Managed By	Assigned To	Risk Title	Description	Risk Score	Status	Trend	Last Review Date
SLT001 (JH)	Jennifer Holland	Nick Byers	IT Infrastructure	If we do not have appropriate IT infrastructure then we may fail to deliver the business transformation programme and our other business objectives in full resulting in significant service delivery issues and inability to deliver savings	9 Moderate - Possible			08-Mar-2022
SLT002 (JH)	Jennifer Holland	Nick Byers	IT Data and System Security	Lack of appropriate IT data and system security could lead to service delivery failure and reputational damage	9 Moderate - Possible			08-Mar-2022
SLT003 (DR)	David Robertson		Budgetary control	Failure of budgetary control processes may increase the likelihood of unplanned overspends, under recovery of budgeting income, budgets being stretched and the savings required by the 5 year Financial Plan delayed	9 Moderate - Possible			31-Mar-2022
SLT004 (DR)	David Robertson		Government funding	If there is an unforeseen or unplanned reduction in government funding beyond financial planning assumptions, then our ability to provide services may be compromised (LGFS updated annually in December).	9 Moderate - Possible			31-Mar-2022
SLT006 (DR)	David Robertson		Pension Fund instability	Insufficient contributions and/or too many pensioners and too few active contributing members may bring increased costs to the Council's Pension Fund	4 Minor - Unlikely			31-Mar-2022
SLT007 (DR)	David Robertson		Financial sustainability Pension Fund	A change in the level of participation in the pension fund may lead to calls upon the council and other admitted bodies for additional funding resulting in increased costs to employers	6 Moderate - Unlikely			31-Mar-2022
SLT008 (DR)	David Robertson	Stuart Ford	H&S compliance	If someone is harmed because we do not have, or we fail to comply with health and safety policy and procedures, then we may face litigation, fines and significant reputational damage	9 Moderate - Possible			14-Apr-2022
SLT009 (JH)	Jennifer Holland	Jennifer Holland	Contract monitoring	Ineffective monitoring of contracts could result in poor performance, poor value for money and expose the Council to other damaging risks	6 Moderate - Unlikely			08-Mar-2022
SLT010 (NM)	Netta Meadows	Andy McLean	External events	If there is a significant incident during/as a consequence of an externally organised event in the Scottish Borders, then there may be significant reputational damage due to the perception that all	8 Major - Unlikely			09-Feb-2022

Risk Code	Managed By	Assigned To	Risk Title	Description	Risk Score	Status	Trend	Last Review Date
				events are managed and overseen by the Council				
SLT011 (NM)	Netta Meadows	Andy McLean	Major Incidents	If we are unprepared for major incidents then we may not be able to deliver our services and communities may be adversely affected.	6 Moderate - Unlikely			09-Feb-2022
SLT012 (NM)	Netta Meadows		Political instability	As the current administration is a coalition, if political instability within it arises then this may impact on decision making and delays across Council business.	6 Moderate - Unlikely			14-Mar-2022
SLT013 (NMc)	David Robertson	Nuala McKinlay	Elected Members Conduct	If Members act inappropriately in the course of their duties, then the Council may be subject to reputational damage if the Council is viewed not to have provided adequate training, monitoring and oversight	9 Moderate - Possible			25-Jan-2022
SLT014 (NMc)	David Robertson	Nuala McKinlay	Legislative Compliance	If the Council fails to comply with the various legislation that it is bound by, then there is a risk of financial penalties, litigation, reputational damage and prosecution	6 Moderate - Unlikely			25-Jan-2022
SLT015 (NMc)	David Robertson	Nuala McKinlay	Data Breach	If we lose officially sensitive data or we use data inappropriately then we may be in breach of data protection legislation resulting in fines and reputational damage	12 Major - Possible			25-Jan-2022
SLT016 (JH)	Jennifer Holland		Insufficient resources for the delivery of the Commissioning Plan	If we do not have sufficient resource for delivery of the joint strategic plan (incl. commissioning) for IJB then there may be insufficient care and support for vulnerable people in the Scottish Borders leading to poor outcomes and reputational damage.	12 Moderate - Likely			08-Mar-2022
SLT017 (SE)	Stuart Easingwood		C&YP and adults at risk of harm	Failure to protect C&YP and adults at risk of harm may result in harm to them and reputational damage for the Council and Integration Joint Board	12 Major - Possible			11-Feb-2022
SLT018 (LM)	Lesley Munro		Mental/Emotional Wellbeing C&YP	If we do not identify and adequately support young people with mental and emotional wellbeing issues then they may come to harm.	12 Major - Possible			19-Apr-2022
SLT019 (LM)	Lesley Munro	John Fyfe; Lesley Munro	C&YP/Learners Placements	If children, young people and learners are placed/educated outwith the local area their needs may not be sufficiently met and with significant costs to SBC	20 Major - Almost Certain			18-Feb-2022
SLT020 (LM)	Lesley Munro		Education system	If there is a major failure in our education system then we may not be able to improve attainment and achievement levels for our children and young people leading to poor outcomes.	6 Moderate - Unlikely			19-Apr-2022
SLT021 (NM)	Netta Meadows	Adam Drummond	Effective Service Delivery	If we do not effectively deliver services as a Council and do not capitalise on positive PR opportunities, share good news stories or work to mitigate the impacts of potential negative coverage then the public's perception of the council as a whole may be a negative one.	12 Moderate - Likely			17-Feb-2022
SLT022 (CH)	Clair Hepburn	Erick Ullrich	Change management	Ineffective change management to modernise the organisation may cause conflicts with employees and their representative bodies	6 Moderate - Unlikely			18-Mar-2022

Risk Code	Managed By	Assigned To	Risk Title	Description	Risk Score	Status	Trend	Last Review Date
				resulting in delay in achieving objectives and savings				
SLT023 (CH)	Clair Hepburn		Staff recruitment and retention	If we are unable to recruit and retain suitably qualified, experienced and motivated staff then we may not be able to deliver our objectives.	6 Moderate - Unlikely			01-Feb-2022
SLT024 (CH)	Clair Hepburn		Staff behaviour	If staff act inappropriately in the course of their duties, then the Council may be subject to reputational damage, financial loss and litigation	6 Moderate - Unlikely			01-Feb-2022
SLT025 (CH)	Clair Hepburn		Transformation Programmes	If we fail to manage and appropriately resource major Transformation programmes/projects undertaken simultaneously then we may be unable to achieve objectives	6 Minor - Possible			01-Feb-2022
SLT026 (JC)	John Curry		Property	If we do not identify opportunities for rationalisation, savings and investment in the Operational property portfolio then there may be negative financial implications.	16 Major - Likely			16-Feb-2022
SLT027 (JC)	John Curry		Capital Projects	If Capital projects are not evaluated to take into account ROI and whole life costs then the benefits may not be realised or give value for money	12 Major - Possible			16-Feb-2022
SLT029 (JC)	Jenni Craig		Community Planning Partnership	Failure to lead and manage the Community Planning Partnership may mean that it is unable to deliver strategies and political ambition	9 Moderate - Possible			25-Feb-2022
SLT030 (JC)	Jenni Craig		Stakeholder Engagement	If we do not engage with our primary stakeholders (residents, businesses, partners, staff) then we may not gain the support and buy-in to enable the changes required to deliver services in the future	9 Moderate - Possible			28-Mar-2022
SLT031 (SE)	Stuart Easingwood		Unpredictable C&YP Placements	Unpredictable high risk and high tariff placements within Children and Families Social Work could cause significant pressure on the budget. These placements can be mandated by Court processes or via the Childrens' Hearing system, over which we have no direct control.	16 Major - Likely			11-Feb-2022
SLT032 (JC)	John Curry	Ian Aikman	Climate Change	If the Council and its partners do not act to assess and address climate change threats, the consequences of climate change may be more adverse and the Council could fail to meet its legislative obligations.	20 Catastrophic - Likely			13-Apr-2022