

Appendix A - Strategic Risk Report - Somerset County Council (SLT)

Risk Ref	Risk	Uncontrolled Risk	Action Required (In progress Only)	Control Owner Review Date Target Date	Current Risk Score	Controlled Risk Assessment for Financial Year	Comments
ORG0043 Risk Owner: Kevin Nacey Next Risk Review Date: 29/06/2018	<p>Risk Description: Strategic Risk 2016: Maintain a sustainable budget: Reserves will not be sufficient to manage any in-year overspends for the forthcoming financial year 2018/19</p> <p>Cause: Unforeseen expenditure and overspends exceed the planned provision</p> <p>Consequence: A balanced budget has been set for 2018/19 but there is considerable risk that not all savings will be achieved and overspends may exceed contingency and reserves. There is a set of actions to keep this in check.</p>	<p>Likelihood :5 Impact :5</p> <p>25</p> <p>Escalate to SRMG</p>	<ul style="list-style-type: none"> ◦ Serious challenge to MTFP savings proposals for the 2017/18 year to ensure they are achievable Reviewed 07/12/2017 by P Flaherty: Ongoing budgetary challenges both in year and for next. <i>In Progress</i> (75% complete) ◦ Heightened budget monitoring on those services showing budget overspend Part of the 10 point plan, in progress <i>In Progress</i> (80% complete) ◦ Cabinet receive monthly budget monitoring updates Part of the 10 point plan, in progress <i>In Progress</i> (90% complete) ◦ Review of the earmarked reserves to establish if any of those could be rescinded and returned to general reserves Part of the 10 point plan, in progress <i>In Progress</i> (90% complete) ◦ Development & approval of MTFP 2018/2019 - ensure necessary resources are in place to meet key priorities Part of the 10 point plan, in progress <i>In Progress</i> (25% complete) ◦ Better establishment control in SAP Part of the 10 point plan, in progress <i>In Progress</i> (80% complete) ◦ Control on Agency Spend Part of the 10 point plan, in progress <i>In Progress</i> (10% complete) 	<p>Patrick Flaherty 15/01/2018 30/03/2018</p> <p>Kevin Nacey 29/06/2018 28/09/2018</p> <p>Kevin Nacey 28/09/2018 28/09/2018</p> <p>Kevin Nacey 28/09/2018 28/09/2018</p> <p>Kevin Nacey 31/07/2018 31/07/2018</p> <p>Chris Squire 12/02/2018 30/03/2018</p> <p>Chris Squire 12/02/2018 30/03/2018</p>	<p>Likelihood :5 Impact :5</p> <p>25</p> <p>Escalate to SRMG</p>	<p>Likelihood :4 Impact :5</p> <p>20</p> <p>Escalate to SRMG</p>	07/03/2018 New years budget to be monitored through the ten point plan with individual actions assigned to Directors.

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			<ul style="list-style-type: none"> ◦ focussing on contract spend in all areas but specifically in Children's services Part of the 10 point plan, in progress <i>In Progress</i> (10% complete) 	Richard Williams 12/02/2018 30/03/2018			
ORG0032 Risk Owner: Richard Williams Next Risk Review Date: 26/03/2018	Risk Description: Strategic Risk 2017: Information Governance: An event occurs that results in a statutory breach of data protection legislation. This could be an ICT security vulnerability that compromises the PSN network, a significant disclosure of sensitive personal data or another procedural breach of the EU GDPR. Cause: An intentional exploitation of a security vulnerability in the SCC network by hostile agents such as hackers or malware. Non-compliance with the articles and recitals in the EU GDPR in 2018. A significant unintentional data breach of sensitive personal or business data in email, post, fax by an employee, contractor, service provider or an SCC Councillor. Consequence: The Council is exposed to fraud, loss of reputation, legal action by clients or employees and / or the possibility of fines from the Information Commissioner's Office (currently estimated at £100k - £200k but potentially much higher in 2018). Members of the Public are exposed to harm or distress due to the significant unauthorised disclosure of personal data.	Likelihood :5 Impact :4 <div style="background-color: red; color: white; text-align: center; width: 20px; height: 15px; margin: 5px auto;">20</div> Escalate to SRMG	<ul style="list-style-type: none"> ◦ Publication of EUGDPR Privacy Notice The EU-GDPR requires the publication of a comprehensive Privacy Notice detailing the services provided, the personal data processed, the sharing agreements, the retention periods and access arrangements for data subjects <i>In Progress</i> (70% complete) ◦ Induction and Refresher training for Information Security and Data Protection The EU-GDPR requires that all employees are fully aware of their responsibilities for processing personal data. SCC will endeavour to ensure all new employees are trained in Information Security and Data Protection within 3 months of commencing employment. <i>In Progress</i> (95% complete) ◦ Publication and distribution of EU-GDPR policies to all employees The EU-GDPR requires that all employees are made aware of SCC policy for processing personal data. SCC will endeavour to ensure all employees have received mandatory Information Security and Data Protection, by Metacompliance, prior to the adoption of the EUGDPR in may 2018. <i>In Progress</i> (40% complete) 	Peter Grogan 30/05/2018 31/05/2018 Peter Grogan 31/05/2018 30/05/2018 Peter Grogan 31/05/2018 31/05/2018	Likelihood :4 Impact :4 <div style="background-color: red; color: white; text-align: center; width: 20px; height: 15px; margin: 5px auto;">16</div> Escalate to SRMG	Likelihood :3 Impact :4 <div style="background-color: yellow; text-align: center; width: 20px; height: 15px; margin: 5px auto;">12</div> Quarterly	03/08/2017 Given compliance requirements and need to protect confidential and sensitive data it is imperative that this risk is actively managed and that all members of staff are aware of their obligations.

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				<ul style="list-style-type: none"> Information Sharing Agreements and Contracts Somerset County Council will review and implement all current Information Sharing Agreements and contracts in compliance with the EU-GDPR <i>In Progress (40% complete)</i> Information Asset register Creation of a comprehensive Information Asset Register to enable SCC to identify where personal data is held, who is responsible for it and any risks associated with processing; Major deferral to allow Microsoft to implement the IAR <i>In Progress (25% complete)</i> Effective management of Data Subjects rights SCC must ensure that all data subjects rights are respected with regard to lawful and fair processing and specifically access to records and DSAR processing <i>In Progress (50% complete)</i> 	Peter Grogan 30/08/2018 31/07/2018 Peter Grogan 31/05/2018 30/09/2018 Peter Grogan 31/05/2018 30/05/2018			
	ORG0009 Risk Owner: Julian Wooster Next Risk Review Date: 01/08/2018	Risk Description: Strategic Risk 2016: Safeguarding Children: We fail to deliver our statutory service delivery duties and legal obligations in relation to vulnerable children. Cause: Systemic leadership and management challenges Consequence: Possible abuse, injury or loss of life to a vulnerable child caused by service failure. Reduced public confidence; emergency measures; increased inspection; personal litigation claims; negative publicity for both	Likelihood :4 Impact :5 <div style="background-color: red; color: white; text-align: center; width: 20px; height: 15px; margin: 5px auto;">20</div> Escalate to SRMG	<ul style="list-style-type: none"> CYPP 7 Improvement Programmes Review: The Children's Trust Executive are pleased with the progress against the 7 Improvement Programmes, but recognise there is still much work to be done. Action plans for 2017/18 have been drawn up with a focus on a stepped improvement over this second year to ensure year 3 achieves the outcomes of the CYPP in 2019 <i>In Progress (35% complete)</i> 	Adrienne Parry 31/01/2018 31/03/2018	Likelihood :3 Impact :5 <div style="background-color: orange; color: white; text-align: center; width: 20px; height: 15px; margin: 5px auto;">15</div> Monthly	Likelihood :3 Impact :5 <div style="background-color: orange; color: white; text-align: center; width: 20px; height: 15px; margin: 5px auto;">15</div> Monthly	01/05/2018 The Ofsted Safeguarding Review during November 2017 moved SCC from Inadequate to Requires Improvement.

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	the Council and partners; possible financial penalty or service is removed from Council control.						
ORG0011	<p>Risk Description: Strategic Risk 2016: Health & Safety: Death or injury to a member(s) of the public or a member(s) of staff, volunteers, visiting contractors or service users</p> <p>Cause: Failure to manage our activities, assets, premises and contracts in compliance with our statutory duties and organisational policies in respect of Health & Safety, either directly, or indirectly through our strategic partners</p> <p>Consequence: 1. Death or serious harm ("dangerous occurrence" (defined by legislation)) to a service user, pupil, member of the public or a member of staff; 2. Criminal prosecution and enforcement action under H&S / Fire / Corporate Manslaughter legislation. 3. Civil Claims and/or personal litigation claims for negligence 4. Adverse publicity and damage to reputation for the Council 5. Increased audit inspection 6. Increased costs and financial penalties</p>	<p>Likelihood :5 Impact :5</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">25</p> <p>Escalate to SRMG</p>	<ul style="list-style-type: none"> ◦ Ensure visibility of appropriate health and safety-related contract management activity in relation to key contracts 10/04/2017: This has now been published and the HSPSG will be informed at the April 2017 Meeting. By GLH <i>In Progress (20% complete)</i> ◦ Publish and implement Corporate H&S Training Policy 10/04/2017: This has now been published and the HSPSG will be informed at the April 2017 Meeting. By GLH 5 July 2017: Policy published all informed. Essential Training to be completed within 3 years. By GLH 18 September 2017: This policy has now been published and enrolment on e learning essential course has now started. Automatically sent out to each employee as necessary by TLC. Monitor success in January 2018 The Training policy has been published for over a year and has been implemented through the learning centre. <i>In Progress (90% complete)</i> ◦ Create common processes so staff can be interchanged across County 25/10/2017 - nothing has changed to the status below as the FM review is ongoing 20/12/2017 - Review due to complete in May 2018, no change to status. 21/05/2018 - Review complete - associated changes due to be implemented with effect from 1st September 2018. <i>In Progress (50% complete)</i> 	<p>Carly Wedderburn 06/07/2018 30/04/2018</p> <p>Graham Holmes 05/09/2018 24/09/2018</p> <p>Heidi Boyle 21/08/2018 31/08/2018</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; padding: 2px;">15</p> <p>Monthly</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center; padding: 2px;">15</p> <p>Monthly</p>	<p>03/08/2017 Renewed focus by the organisation is necessary in the light of recent events (Grenfell). Actions are in place to provide assurance on fire safety in both our corporate and schools estate.</p>

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	ORG0040	<p>Risk Description: Strategic Risk 2015: Benefit Realisation: Failure to deliver service transformation (financial and non-financial benefits), and necessary cost savings, performance improvements, and legislative changes requiring significant service re-design through our Core Council Programme.</p> <p>Cause: Transformation not considered a corporate priority with funding and resources not prioritised to this area. A lack of joint commissioning priorities to identify innovative ideas for future transformational change and a lack of collaboration between SCC services and partners.</p> <p>Consequence: Inability to balance the budget, reputational damage and fines through a failure to meet legislative change, stagnation or deterioration in performance impacting on the service we provide to our customers (including some of the most vulnerable people in the community).</p>	<p>Likelihood :5 Impact :5</p> <p style="text-align: center;">25</p> <p>Escalate to SRMG</p>	<ul style="list-style-type: none"> ◦ Review need for Business Case refresher training during service planning 14/08/17 - Business Cases being used to track 5 high-spend corporate priority areas. <i>In Progress (75% complete)</i> ◦ Collaboration between Services and provision of specialist knowledge to the Core Council Programme projects/programmes 14/08/17 - SME forum has developed into the Corporate Support Services Network (CSSN) and links to commissioning and corporate planning have been strengthened. Looking at Support Service needs across all planning and commissioning activity. <i>In Progress (75% complete)</i> 	<p>Daniel Forgham-Healey 14/02/2018 14/08/2018</p> <p>Daniel Forgham-Healey 14/08/2018 14/08/2018</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p>	<p>14/08/2017 14-08-17 - The increased scope and scale of transformation activity threatens to spread resources too thin across too many corporate priorities.</p>

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	<p>ORG0007</p> <p>Risk Owner: Paula Hewitt</p> <p>Next Risk Review Date: 29/08/2018</p>	<p>Risk Description: Strategic Risk 2014: Business Continuity: Short or long-term service disruption may occur</p> <p>Cause: [because of] Lack of formal arrangements in place or being finalised that enable managers to review risks in the planning for business continuity</p> <p>Consequence: [resulting in] Major disruptive challenge to service provision and unplanned costs.</p>	<p>Likelihood :3 Impact :5</p> <p style="background-color: orange; text-align: center;">15</p> <p>Monthly</p>	<ul style="list-style-type: none"> ◦ Business Continuity Steering Group Hold regular meetings of the Business Continuity Steering Group. Membership includes SCC service representatives and colleagues from the District Councils. Purpose of the Steering Group is to embed and promote effective business continuity arrangements throughout the local authorities and contracted services. In 2017/18 meetings are scheduled for May, August, November and March. <i>In Progress (75% complete)</i> ◦ Annual test of business continuity plans Hold a table-top exercise in spring 2018 to test the SCC Corporate Business Continuity Plan and the supporting service level plans. District councils are invited to participate. Build on the lessons identified in Ex Viral Crisis held in March 2017. <i>In Progress (10% complete)</i> ◦ Annual update of SCC Corporate Business Continuity Plan Revise the SCC Corporate Business Continuity Plan annually or following an activation of the corporate level arrangements. Plan was last updated and re-issued in January 2017 then again in October 2017 to reflect changes in corporate structure. Next routine update is underway and includes a refresh of the business impact analysis to reflect changes to the SCC IT. This will be informed by Exercise Long Reach (17/4/2018) <i>In Progress (75% complete)</i> 	<p>Nicola Dawson 19/05/2018 31/03/2018</p> <p>Nicola Dawson 21/05/2018 31/03/2018</p> <p>Nicola Dawson 16/10/2018 30/06/2018</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p>	<p>Likelihood :3 Impact :4</p> <p style="background-color: yellow; text-align: center;">12</p> <p>Quarterly</p>	<p>29/05/2018 A couple of actions need to be updated but with the mitigations in place the risk score remains unchanged. P Hewitt 29/05/18</p>

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				<p>o Corporate Business Continuity Plan for SCC It has been agreed that rather than develop a Business Continuity Plan for SCC that we would look to develop a countywide Business Continuity Plan in conjunction with the District Councils with whom we share premises. The timeline for this project will be re-baselined. A Local Authorities partnership meeting which is scheduled to be held at Sedgemoor: Bridgwater House on 4 Nov 1000- 1300hrs. The project plan and timeline will be developed at that meeting. A meeting took place with the District Councils on the 4th Nov 2015. there was little enthusiasm for a joint approach. Agreed to meet with them individually to see if we can find a way forward. Meetings arranged with District Council to individually discuss shared contingency arrangements. Meetings have taken place with TDBC, SDC and MDC. Meeting scheduled with SSDC. A meeting has now taken place with SSDC. A set of agreed principles based on mutual support will now be created and agreed. A draft Business Continuity Plan has been developed. This will now be shared for final comments with the other Councils. Responsibility for FM has transferred to Property Services so the Action Owner has changed to Claire Lovett, Head of Property</p> <p>5/4/18 A draft document has been produced after discussions with all the District Councils. The completed document was reviewed internally by the Civil Contingencies Team</p>	<p>Claire Lovett 05/07/2018</p>			

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				who confirmed it was fit for purpose, although others have sought more detail. A further internal meeting is therefore taking place on 23 April to review it again. CLL <i>In Progress</i> (30% complete)				
	ORG0002 Risk Owner: Paula Hewitt Next Risk Review Date: 09/08/2018	Risk Description: Strategic Risk 2015: Commissioning: Failure to adequately commission services and/or failure in the market and supply chain Cause: Demand led response and not outcome driven (trying to deliver the same service with less resources is no longer feasible), limits the ability to deploy resources previously identified for investment in preventative services Consequence: Resulting in transfer and a reduction in planned long term savings and the council being unable to meet statutory obligations and/or to deliver the County Plan objectives, Incur additional financial costs, fail to achieve value for money, reputation damage, vulnerable individuals at greater risk, financial penalty	Likelihood :5 Impact :5 25 Escalate to SRMG	<ul style="list-style-type: none"> ◦ A&H commissioning intentions for 2015 16 has been drafted and commissioning structure revised to align it to the TOM. A&H commissioning intentions for 2015 16 has been drafted and commissioning structure revised to align it to the TOM. We are currently working through workplans to ensure resources are aligned to the new Commissioning Intentions <i>In Progress</i> (10% complete) ◦ Discussions with commissioners to ensure information available is appropriate and readily accessible. Regular updates with SCMG on a monthly basis regarding latest insight and intelligence. Monthly meetings with Adults Social Care and regular attendance at Children's SLT to discuss data requirements. <i>In Progress</i> (90% complete) 	Stephen Chandler 21/12/2017 30/03/2018 Malc Riches 09/11/2018 31/03/2018	Likelihood :3 Impact :4 12 Quarterly	Likelihood :3 Impact :4 12 Quarterly	09/05/2018 Action owners chased. Risk score remains unchanged until progress on actions made. P Hewitt 09/05/18

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	<p>ORG0024</p> <p>Risk Owner: Richard Williams</p> <p>Next Risk Review Date: 09/02/2018</p>	<p>Risk Description: Strategic Risk 2011: Operations: Quality of contract management is inconsistent and fails to meet our customers expectations</p> <p>Cause:</p> <p>Consequence: Loss of customer confidence and trust in the Council, impacting on the reputation of the council</p>	<p>Likelihood :4 Impact :4</p> <p style="background-color: red; color: white; text-align: center; padding: 2px;">16</p> <p>Escalate to SRMG</p>	<ul style="list-style-type: none"> ◦ Putting in place effective contract management at a senior level throughout the Council Update 25/06: Greater commercial awareness cascaded through organisation. Establishing greater clarity between day - to -day Contract Management via operations and Commercial management delivered via procurement team. as part of SWAP Audit <i>In Progress (40% complete)</i> ◦ Ensure adequate management information and reporting is in place to monitor quality through the Business Intelligence Function <i>In Progress (80% complete)</i> 	<p>Richard Williams 02/08/2018 02/08/2018</p> <p>Malc Riches 09/10/2018</p>	<p>Likelihood :4 Impact :3</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Quarterly</p>	<p>Likelihood :4 Impact :3</p> <p style="background-color: yellow; text-align: center; padding: 2px;">12</p> <p>Quarterly</p>	<p>08/01/2018 Review: 3 Jan 2018 - D Fitzgerald: Current score remain as Amber Update – Contract Core Management Group meets regularly to help share learning, support and provide upskilling/training to Contract Managers. Embedding the Contract Managers Toolkit remains a priority as awareness and gaps in good contract management in services still remains a risk.</p>

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	<p>ORG0010</p> <p>Risk Owner: Stephen Chandler</p> <p>Next Risk Review Date: 08/08/2018</p>	<p>Risk Description: Strategic Risk 2016: Safeguarding Adults: We fail to deliver our statutory safeguarding activity in relation to adults</p> <p>Cause: there is a risk that death or injury to a vulnerable member of the public or a member of staff, where the county council has not completely fulfilled its responsibilities may occur</p> <p>Consequence: leading to increased audit inspections, personal litigation claims, adverse publicity for the council and possible financial penalties</p>	<p>Likelihood :3 Impact :5</p> <p style="text-align: center;">15</p> <p>Monthly</p>			<p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Quarterly</p>	<p>Likelihood :3 Impact :4</p> <p style="text-align: center;">12</p> <p>Quarterly</p>	<p>08/05/2018 The Adult Safeguarding Service has recently finalised its statutory Safeguarding Adults Collection annual return for the 2017/18 financial year, due for submission in June 2018. Data has been shared with both operational leads and the strategic multi-agency Safeguarding Adults Board leads, and reveals that the risk of abuse/neglect was reduced or removed in 90% of safeguarding enquiries undertaken during the year. A piece of work has also been undertaken in recent months within the safeguarding service to ensure timely, effective safeguarding activity is being undertaken supported by a data validation exercise.</p>

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	ORG0001 Risk Owner: Paula Hewitt Next Risk Review Date: 29/08/2018	Risk Description: Strategic Risk 2014: Civil Emergencies: A major civil emergency results in loss of life and major disruption to services Cause: we do not adequately plan for civil emergencies including the testing of plans and prioritisation of our resources, Consequence: impact on Somerset County Council's reputation and standing locally and Nationally	Likelihood :4 Impact :5 20 Escalate to SRMG	<ul style="list-style-type: none"> Deliver phase one of the SLACCP Training and Exercise Policy At the July 2017 SLACCP meeting, all six authorities signed off a SLACCP Training and Exercising Strategy. This will deliver a consistent and sustainable rolling programme of role and capability based training. It will make full use of IT eg e-learning, webinars etc as well as face to face training and exercises. First phase will be e-learning packages for the key emergency roles outlines in the Corporate Emergency Response and Recovery Plan. The contents of the training packages has been drafted and the e-learning is under preparation. <i>In Progress (50% complete)</i> 	Nicola Dawson 19/05/2018 30/06/2018	Likelihood :2 Impact :5 10 Monthly	Likelihood :2 Impact :5 10 Monthly	29/05/2018 The risk continues to be mitigated and the risk score has not changed. P Hewitt 29/05/18
	ORG0042 Risk Owner: Chris Squire Next Risk Review Date: 30/04/2018	Risk Description: Strategic Risk 2015: HR: The risk of not having the employee capacity to deliver and support delivery of core front line services Cause: Combination of austerity measures and market forces in being able to attract suitably qualified people to work for the Council Consequence: Reduced levels of service activity, more reliance on existing employees and possible issues with consistency on quality.	Likelihood :4 Impact :4 16 Escalate to SRMG	<ul style="list-style-type: none"> Closely monitored operationally & at Programme Improvement Boards Reviewed 26/10/2017: Dashboard in place at corporate & service level. Establishment control in place. Complete <i>In Progress</i> 	Chris Squire	Likelihood :3 Impact :3 9 Quarterly	Likelihood :3 Impact :3 9 Quarterly	30/01/2018 reviewed 30/01/2018: All actions are on track. Current score has been reduced to 3x3 (9)

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	ORG0022 Risk Owner: Richard Williams Next Risk Review Date: 04/12/2017	Risk Description: Strategic Risk 2014: ICT: Unintentional events, including changes to our IT system, or intentional attempts that damage our systems, property, reputation or one of our other resources. Cause: Lack of a Disaster Recovery Plan along with an out of date Corporate Business Continuity Plan Consequence: Effect on our customers wellbeing if data can not be accessed, financial cost - reduced funding to meet objectives, reputation damage, ties up management time, cost of extra control, possible aversion to risk taking. Increased FOI culture. Communication disruption, reduced satisfaction with services e.g. unplanned downtime for ICT, Increase in claims for compensation, increased external / internal fraud, increased tendency to 'work the system'.	Likelihood :3 Impact :5 15 Monthly	<ul style="list-style-type: none"> ◦ Updated Information Governance Policies New Enterprise Architecture team security training & awareness sessions for IT & SMEs <i>In Progress (40% complete)</i> ◦ Testing of Disaster Recovery Plan 12/09/2014: A disaster recovery rehearsal is currently being planned to test existing procedures and highlight issues to be addressed by a more robust solution. Wider options are being explored beyond the existing provider including possible collaboration with other organisations. 16/03/15: There has been a considerable delay in South West One supplying the required technical information to enable a DR test to take place. This has now been supplied and a test is being planned for Q1 2015/16. SCC is also undertaking a review of the existing DR cover to ensure that adequate resilience is in place. <i>In Progress (10% complete)</i> 	Dave Littlewood 04/12/2017 Mike Kenworthy 07/12/2017	Likelihood :3 Impact :2 6 Six Months	Likelihood :2 Impact :2 4 Six Months	03/08/2017 The resilience and security of our IT systems and data has been a focus in our implementation of cloud based and other changes to the IT infrastructure. We need to remain vigilant particularly to external threats including viruses. Given pace of change in IT this should be a 6 monthly review.

Report Selection Criteria

Status Flag=ACTIVE - Business Unit Code=ORG - ISNULL(Project Code)