

### Risk Landscape Update for Audit and Assurance Committee- August 2021

The following is provided as update on the Strategic Risk Register and the work of Social Security Scotland's risk management function between May 2021 and August 2021:

- Four new risks have been added since May.
- AS-R012a score has increased 8 to 16; increase in likelihood from 2 to 4 due to increased uncertainty around Scottish Government budgetary priorities.
- AS-R070 has decreased from 20 to 15 to reflect National (Pandemic) Register; likelihood decreasing by one point; risk now within tolerance.
- AS-R072 has increased from 8 to 12 because of the pace of delivery of necessary audit functionality and controls, user access provision and controls
- AS-R075 has decreased from 20 to 16 as tactical solution deployed and Executive Team resolved outstanding decisions-remaining elements of service design now proceeding.
- AS-R047 has been removed from the register; this was a composite risk captured in January 2019; the risk owner and action owner now feel that the individual threats it covered are captured and being managed elsewhere within the register.
- AS-R073 has been de-escalated to Divisional risk log for on-going management; the threat did not realise under COVID-19.
- Tables 1 & 2 show changes to positioning of risks between May 2021 to August 2021
- Table 3 shows risk by risk category
- Tables 4 to 13 show changes to risk profile since last update.
- Table 15 compares inherent risk score against residual risk score and target risk score.

**Table 1 & 2- Changes of Position of Risk November 2020 to February 2021**

**Table 1- Position at end of May 2021**

Impact is scored along the vertical axis.

Likelihood is scored down the horizontal axis.

Those risks with \* are currently outside of tolerance level

5				AS-R047* AS-R015a AS-R076* As-R081*	
4		AS-R062 AS-R072 AS-R074 AS-R012a	AS-R001a AS-R048 AS-R064	AS-R002a* AS-R032a* AS-R034a* AS-R060* AS-R065* AS-R079* AS-R080*	AS-R066 AS-R029* AS-R070* AS-R075* AS-R077* AS-R078*
3		AS-R061	AS-R073		
2					
1					
	1	2	3	4	5

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**Table 2- Current Position at end of August 2021**

Impact is scored along the vertical axis.

Likelihood is scored down the horizontal axis.

Those risks with \* are currently outside of tolerance level

Those in **bold** are new risks

5	<b>AS-R085</b>		AS-R070	AS-R015a AS-R076* AS-R081*	
4		AS-R062 AS-R074	AS-R001a AS-R048 AS-R064 AS-R072	AS-R002a* AS-R012a* AS-R032a* AS-R034a* AS-R060* AS-R065* AS-R075* AS-R079* AS-R080*	AS-R029* AS-R066* AS-R077* AS-R078* <b>AS-R082*</b> <b>AS-R083*</b> <b>AS-R084*</b>
3		AS-R061			
2					
1					
	1	2	3	4	5

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**Table 3- Risk Clusters**

Those risks with \* are currently outside of tolerance level.

Category	Risk	Score
Communication	Nil	Nil
Compliance	AS-R060*	16
	AS-R072	12 (Increase)
	AS-R079*	16
	AS-R080*	16
	AS-R082*	20
	AS-R083*	20
Financial	AS-R012a*	16 (Increase)
	AS-R081*	20
Governance	AS-R015a	20
	AS-R061	6
	AS-R062	8
	AS-R074	8
Operational Delivery	AS-R002a*	16
	AS-R029*	20
	AS-R064	12
	AS-R070	15
	AS-R085	5
Operational Readiness	AS-R001a	12
	AS-R075*	16 (decrease)
	AS-R076*	20
	AS-R077*	20
	AS-R078*	20
	AS-R084*	20
Policy	AS-R065*	16
	AS-R066*	20

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Resource	AS-R032a*	16
	AS-R034a*	16
	AS-R048	12
Security	Nil	Nil
Technology	Nil	Nil

### Changes to Risk Profile

#### Table 4-Score Increase

AS-R012a			
Date Added	06/03/19	Risk Type	Financial
Risk Description	Restriction of public finances leads to insufficient resources to maintain quality, causing reputational damage		
Previous Impact	4	Previous Likelihood	2
Current Impact	4	Current Likelihood	4
Action Owner	[Redacted]	Risk Owner	James Wallace
Update	<ul style="list-style-type: none"> <li>02/08/21- There are significant Scottish Government pressures on the budget and whilst we are considered a priority area there are likely to be some prioritisation issues ahead.</li> </ul>		

#### Table 5- Score Increase

AS-R072			
Date Added	21.05.20	Risk Type	Compliance
Risk Description	Impact from failure to comply with data protection legislation		
Previous Impact	4	Previous Likelihood	2
Current Impact	4	Current Likelihood	3
Action Owner	[Redacted]	Risk Owner	Miriam Craven

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Update	<ul style="list-style-type: none"> <li>Proposed escalation of concerns regarding prioritisation of the pace of delivery of necessary audit functionality and controls, user access provision and controls</li> </ul>
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**Table 6- Score Decrease**

AS-R070			
Date Added	20/03/20	Risk Type	Operational Delivery
Risk Description	Impact from lack of appropriate controls to respond to pandemic		
Previous Impact	5	Previous Likelihood	4
Current Impact	5	Current Likelihood	3
Action Owner	[Redacted]	Risk Owner	Janet Richardson
Update	<ul style="list-style-type: none"> <li>6/7/21: - Change of inherent likelihood and residual scores reflects the current National Register scoring.</li> <li>6/7/21 - Pandemic contingency plan remains under review.</li> </ul>		

**Table 7- Score Decrease**

AS-R075			
Date Added	19/11/20	Risk Type	Operational Readiness
Risk Description	Impact from insufficiently developed processes to maintain ongoing benefits.		
Previous Impact	4	Previous Likelihood	5
Current Impact	4	Current Likelihood	4
Action Owner	[Redacted]	Risk Owner	Janet Richardson & James Wallace
Update	<ul style="list-style-type: none"> <li>22/07/21 : outstanding decisions escalated to ET level have now been resolved, allowing for remaining elements of service design/guidance products to be progressed towards finalisation.</li> </ul>		

**Table 8- Risk Closed**

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AS-R047a			
Date Added	January 2019	Risk Type	Operational delivery
Risk Description	Impact from being underprepared for delivery of Disability and Carers benefits		
Inherent Impact	5	Inherent Likelihood	5
Current Impact	5	Current Likelihood	4
Action Owner	[Redacted]	Risk Owner	James Wallace
Update	<ul style="list-style-type: none"> <li>the threats from the risk are captured elsewhere and controlled such that this risk is not necessary to have- originally captured as an overarching risk for Disability and Carers Benefits.</li> <li>AS-R032, R034a, R048 and R077 replace this risk.</li> </ul>		

**Table 9- Risk De-escalated**

AS-R073			
Date Added	21/05/20	Risk Type	Security
Risk Description	Impact from potential social engineering threat from COVID-19		
Inherent Impact	3	Inherent Likelihood	3
Current Impact	3	Current Likelihood	3
Action Owner	[Redacted]		Janet Richardson
Update	<ul style="list-style-type: none"> <li>Risk did not materialise under COVID 19 and will be monitored at Divisional (CDO) level.</li> </ul>		

**Table 10- New Risk**

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AS-R082			
Date Added	27/05/21	Risk Type	Compliance
Risk Description	Impact from failure to comply with human rights instruments and legislation.		
Inherent Impact	4	Inherent Likelihood	5
Current Impact	4	Current Likelihood	5
Action Owner	[Redacted]	Risk Owner	Miriam Craven
Update	<ul style="list-style-type: none"> <li>04/08/21: Operational Policy Partnership Forum is up and running, but has not yet had its first meeting. Directorate and Operational policy and Scottish Government Legal Department represented on this forum.</li> </ul>		

### Table 11-New Risk

AS-R083			
Date Added	24/06/21	Risk Type	Compliance
Risk Description	Impact of failing to conduct (or complete) Equalities Impact Assessments (EQIA)		
Inherent Impact	4	Inherent Likelihood	5
Current Impact	4	Current Likelihood	5
Action Owner	[Redacted]	Risk Owner	All Deputy Directors
Update	<ul style="list-style-type: none"> <li>04/08/21: Procurement Strategy published (including EQIA)</li> </ul>		

### Table 12- New Risk



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AS-R084			
Date Added	24/06/21	Risk Type	Operational Readiness
Risk Description	Impact of failing to access near real-time data with implementation of Business Information Reporting Tool (BIRT)		
Inherent Impact	4	Inherent Likelihood	5
Current Impact	4	Current Likelihood	5
Action Owner	[Redacted]	Risk Owner	Miriam Craven
Update	<ul style="list-style-type: none"> <li>•</li> </ul>		

**Table 13- New Risk**

AS-R085			
Date Added	26/08/21	Risk Type	Operational Delivery
Risk Description	Impact from prolonged loss of Social Programme Management system (or it's linked elements).		
Inherent Impact	5	Inherent Likelihood	1
Current Impact	5	Current Likelihood	1
Action Owner	TBD	Risk Owner	TBD
Update	<ul style="list-style-type: none"> <li>• Further assessment required at time of writing.</li> </ul>		

**Table 14- Risks by Theme**

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Risk ID	Risk Owner	Risk Score	Themes
AS-R001a	All Deputy Directors	12	External Relationships/Stakeholders, Operational Readiness
AS-R002a	Miriam Craven	16	Operational Readiness
AS-R012a	James Wallace	16	Finance, Reputation
AS-R015a	James Wallace	20	Behaviour, Culture, Finance, Reputation
AS-R029	Janet Richardson	20	Behaviour, Finance, Information Security, Operational Readiness
AS-R032a	James Wallace	16	Culture, Dundee as HQ, People
AS-R034a	James Wallace	16	Dundee as HQ, External Relationships/Stakeholders, Operational Readiness, People, Reputation, Workforce Planning
AS-R048	Miriam Craven	12	Finance, Operational Readiness, Reputation, Workforce Planning
AS-R060	Miriam Craven	16	Behaviour, Culture, People
AS-R061	Miriam Craven	6	External Relationships/Stakeholders, People, Reputation
AS-R062	Miriam Craven	8	Finance, Information Governance, Information Security, Operational Readiness, Reputation
AS-R064	Miriam Craven	12	External Relationships/Stakeholders, Finance, Operational Readiness, People, Reputation
AS-R065	James Wallace	16	Behaviour, Culture, External Relationships/Stakeholders, Finance, People, Reputation
AS-R066	James Wallace	20	Behaviour, Finance, Information Governance, Information Security, Operational Readiness, Reputation

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AS-R070	Janet Richardson	15	Behaviour, Culture, Finance, People, Reputation
AS-R072	Miriam Craven	8	Information Governance
AS-R074	Miriam Craven	8	Behaviour, Culture, People and Reputation
AS-R075	Janet Richardson and James Wallace	16	Finance, Information Governance, Operational Readiness, People, Reputation, Security, Workforce Planning
AS-R076	Janet Richardson, James Wallace and Miriam Craven	20	Finance, Information Governance, Operational Readiness, People, Reputation, Security, Workforce Planning
AS-R077	James Wallace	20	Dundee as HQ, Finance, Operational Readiness, People, Reputation, Workforce Planning
AS-R078	[Redacted]	20	Finance, Information Governance, Operational Readiness, People, Reputation, Security, Workforce Planning
AS-R079	[Redacted]	16	Finance, Information Governance, Operational Readiness, Reputation.
AS-R080	Andy McClintock & Miriam Craven	16	Behaviour, Finance, Information Governance, Information Security, Reputation.
AS-R081	James Wallace	20	Finance, Operational Readiness, Reputation
AS-R082	Miriam Craven	20	Finance, Reputation
AS-R083	All Deputy Directors	20	Reputation, External Relationships/Stakeholders, Behaviour, Culture

AS-R084	Miriam Craven	20	Operational Readiness, Workforce Planning, Finance
AS-R085	TBD	5	External Relationships/Stakeholders, Finance, Operational Readiness, Information Governance, Information Security

**Table 15- Inherent Risk Score against Current and Target Risk Score**

Risk ID	Risk Owner	Inherent Risk Score	Current Risk Score	Target Risk Score
AS-R001a	All Deputy Directors	16	12	9
AS-R002a	Miriam Craven	16	16	8
AS-R012a (increase)	James Wallace	20	16	12
AS-R015a	James Wallace	16	20	12
AS-R029	Janet Richardson	25	20	4
AS-R032a	James Wallace	16	16	6
AS-R034a	James Wallace	16	16	8
AS-R048	Miriam Craven	16	12	8
AS-R060	Miriam Craven	16	16	4
AS-R061	Miriam Craven	12	6	4
AS-R062	Miriam Craven	16		4

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			8	
AS-R064	Miriam Craven	16	12	8
AS-R065	James Wallace	20	16	8
AS-R066	James Wallace	20	20	8
AS-R070 (decrease)	Janet Richardson	25	15	12
AS-R072 (increase)	Miriam Craven	16	12	8
AS-R074	Miriam Craven	12	8	4
AS-R075 (decrease)	Janet Richardson and James Wallace	20	16	8
AS-R076	Janet Richardson, James Wallace and Miriam Craven	20	20	6
AS-R077	James Wallace	20	20	8
AS-R078	[Redacted]	20	20	12
AS-R079	[Redacted]	16	16	6
AS-R080	Andy McClintock & Miriam Craven	16	16	4
AS-R081	James Wallace	25	20	5
AS-R082	Miriam Craven	20	20	8

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AS-R083	All Deputy Directors	20	20	8
AS-R084	Miriam Craven	20	20	6
AS-R085	TBD	5	5	6