

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

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

- One new risk has been added since August- AS-R086.
- AS-R032 has been assessed and has been de-escalated to Divisional risk log to be managed.
- AS-R082 has been assessed and has been de-escalated to Divisional risk log to be managed.
- AS-R084 has been assessed and was rephrased and re-scored as a result.
- Tables 1 & 2 show changes to positioning of risks between August 2021 to October 2021
- Table 3 shows risk by risk category
- Tables 4 to 6 show changes to risk profile since last update.
- Table 7 shows risks by theme
- Table 8 compares inherent risk score against residual risk score and target risk score.

**Table 1 & 2- Changes of Position of Risk August 2021 to October 2021**

**Table 1- 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

5	AS-R085		AS-R070	AS-R015a AS-R076* As-R081*	
4		AS-R062 AS-R074	AS-R001a AS-R048 AS-R064 AS-R072	AS-R002a* AS-R012* AS-R032a* AS-R034a* AS-R060* AS-R065* AS-R075 AS-R079* AS-R080*	AS-R029* AS-R066 AS-R077* AS-R078* AS-R082* AS-R083 AS-R084
3		AS-R061			
2					
1					
	1	2	3	4	5

**Table 2- Current Position at end of October 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	AS-R085		AS-R070	AS-R015a AS-R076* AS-R081*	
4		AS-R062 AS-R074	AS-R001a AS-R048 AS-R064 AS-R072 <b>AS-R086</b>	AS-R002a* AS-R012a* AS-R034a* AS-R060* AS-R065* AS-R075* AS-R079* AS-R080* AS-R084*	AS-R029* AS-R066* AS-R077* AS-R078* AS-R083*
3		AS-R061			
2					
1					
	1	2	3	4	5

**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
	AS-R079*	16
	AS-R080*	16
	AS-R083*	20
Financial	AS-R012a*	16
	AS-R081*	20
	AS-R086 (new)	12
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
	AS-R076*	20
	AS-R077*	20
	AS-R078*	20

## 10th Meeting (20-21) Risk Management Update

	AS-R084*	16 (decrease)
Policy	AS-R065*	16
	AS-R066*	20
Resource	AS-R034a*	16
	AS-R048	12
Security	Nil	Nil
Technology	Nil	Nil

**Changes to Risk Profile**

**Table 4- New Risk**

AS-R086			
Date Added	23/09/21	Risk Type	Financial
Risk Description	Impact from migrating disability cases from DWP if not covered by fraud offence provisions.		
Inherent Impact	4	Inherent Likelihood	4
Current Impact	4	Current Likelihood	3
Action Owner	[Redacted]	Risk Owner	James Wallace
Update	<ul style="list-style-type: none"> <li>•</li> </ul>		

**Table 5- Score Decrease**

AS-R084			
Date Added	24/06/21	Risk Type	Operational Readiness
Risk Description	Restriction of public finances leads to insufficient resources to maintain quality, causing reputational damage		
Previous Impact	4	Previous Likelihood	5
Current Impact	4	Current Likelihood	4
Action Owner	[Redacted]	Risk Owner	Miriam Craven
Update	<ul style="list-style-type: none"> <li>• 07/09/21- Three BIRT reports available to Ops- more to be delivered in October and in support of Child Disability Payment National.</li> </ul>		

**Table 6- De-escalating Risks**

AS-R032a			
Date Added	23/01/19	Risk Type	Resource
Risk Description	Impact on recruiting/developing future specialist resources.		
Inherent Impact	4	Inherent Likelihood	4
Current Impact	4	Current Likelihood	4
Action Owner	[Redacted]	Risk Owner	James Wallace
Update	<ul style="list-style-type: none"> <li>It has been agreed that risk AS-R077 covers a similar but broader risk meaning this can be de-escalated.</li> <li>This risk should be de-escalated to the Corporate Services and Finance risk log.</li> </ul>		

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>Linked issue AS-I012 has been accepted for closure as legislative changes for Child Winter Heating Allowance to include young people aged 16-18 years old in receipt of the enhanced daily living component of PIP have been laid in Parliament.</li> <li>De-escalated to Strategy, Data, Change and Engagement Divisional log.</li> </ul>		

**Table 7- Risks by Theme**

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-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	Andy McClintock	12	External Relationships/Stakeholders, Finance, Operational Readiness, People, Reputation
AS-R066	James Wallace	20	Behaviour, Finance, Information Governance, Information Security, Operational Readiness, Reputation
AS-R070	Janet Richardson	15	Behaviour, Culture, Finance, People, Reputation
AS-R072	Miriam Craven	8	Information Governance



## 10th Meeting (20-21) Risk Management Update

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-R083	All Deputy Directors	20	Reputation, External Relationships/Stakeholders, Behaviour, Culture
AS-R084	Miriam Craven	16	Operational Readiness, Workforce Planning, Finance
AS-R085	TBD	5	External Relationships/Stakeholders, Finance, Operational Readiness, Information Governance, Information Security
AS-R086	James Wallace	12	Finance, External Relationships/Stakeholders, Reputation

**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	James Wallace	20	16	12
AS-R015a	James Wallace	16	20	12
AS-R029	Janet Richardson	25	20	4
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	8	4
AS-R064	Andy McClintock	16	12	8
AS-R065	James Wallace	20	6	8
AS-R066	James Wallace	20	20	8
AS-R070	Janet Richardson	25	15	12
AS-R072	Miriam Craven	16	12	8
AS-R074	Miriam Craven	12	8	4
AS-R075	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

## 10th Meeting (20-21) Risk Management Update



Social Security Scotland  
Tèarainteachd Shòisealta Alba

AS-R079	[Redacted]	16	16	6
AS-R080	Andy McClintock & Miriam Craven	16	16	4
AS-R081	James Wallace	25	20	5
AS-R083	All Deputy Directors	20	20	8
AS-R084 (Decrease)	Miriam Craven	20	16	6
AS-R085	TBD	5	5	6
AS-R086	James Wallace	16	12	4