

**Social Security Scotland Strategic Risk Register- v.5**

Risk ID	Date Added	Risk Type	Risk Description	Inherent Impact	Inherent Likelihood	Inherent Risk Score	Current Impact	Current Likelihood	Residual Risk Score	Risk Score Movement	Key Mitigating Controls- Current and Proposed	Actions Planned	Control Confidence Level	Target Score	Appetite Level	Tolerance Level	Impact Date	Action Owner	Risk Owner	Themes	Notes
AS-R001	23/01/19	Operational Readiness	[Redacted]	4	4	16	4	3	12	Decrease	[Redacted]	[Redacted]	Substantial	9	Medium/Cautious	15	-	[Redacted]	All Deputy Directors	External Relationship/Stakeholder- Retain with different category- Operational Readiness	16/07/2020 (RM): Updates accepted by Risk Review Group, but risk description to be rephrased. Action Owner to discuss with business heads.  30/06/20- Full review of Risk completed with [Redacted] and Miriam Craven.
AS-R002a	23/01/19	Operational Delivery	[Redacted]	4	4	16	4	4	16	Static	[Redacted]	[Redacted]	Limited		High/Open	20		[Redacted]	Miriam Craven	Operational Readiness	08/06/20 [Redacted] preparing rephrasing and update by 12/06/20
AS-R012a	06/03/19	Financial	[Redacted]	5	4	20	4	4	16	Decrease	[Redacted]	[Redacted]	Reasonable		Medium/Cautious	15	01/04/21	[Redacted]	James Wallace	Financial	30/07/2020 (NB) - Rephrased risk as agreed with Risk Owner.  22/6/20 - Revised inherent impact to 5 as having no money would be worst scenario. 16/06/20- Change of Action Owner to [Redacted] . Risk rephrased and to be presented to Risk Review Group in JULY
AS-R015a	23/01/19	Governance	[Redacted]	4	4	16	5	4	20	Increase	[Redacted]	[Redacted]	Reasonable		Medium/Cautious	20		[Redacted]	James Wallace	Finance-Reputation-Cultural-Behaviour	16/07/2020 (RM): Risk updated accepted, but update required once [Redacted] technical audit control policy.  18/06/20- Rephrasing accepted

																				09/06/20- Awaiting approval from RO for rephrasing.  21/05/20- Impact increasing to 5 but Tolerance level increase from 15-20 at this time- due to COVID-19 AO discussed at May RRG that we need accept a greater deal of risk at this time; RRG accepted and agreed.	
AS-R029	23/01/19	Operational Delivery	[Redacted]	5	5	25	5	5	25	Static	[Redacted]	[Redacted]	Substantial		High/Open	20		[Redacted]	Janet Richardson	Operational Readiness- Finance- Information Security- Behaviour	04/08/20 (SM)- AO to review score with potential decrease of Likelihood to "3". AO to review all risks for next Risk Review Group.  16/07/2020 (RM): Risk Review Group would like scoring reconsidered-discussion for August Group.  21/05/20- Rephrased  29/01/20- Action to present proposal to split risk in to two (Incident Response Plan Risk and General BCP Risk) to Risk Review Group on 13th Feb 2020  24/01/20- Action Owner now confirmed as [Redacted]
AS-R032a	23/01/19	Resource	[Redacted]	4	4	16	4	4	16	Static	[Redacted]	[Redacted]	Reasonable		High/Open	20		[Redacted]	James Wallace	Dundee as HQ- Culture- People	19/06/20- Rephrasing accepted  29/05/20- discussion with action owner- risk to be rephrased awaiting

																				agreement from Risk Owner  Risk description changed to focus on the need for specialised roles within the Agency	
AS-R034a	23/01/19	Resource	[Redacted]	5	5	25	4	4	16	Static	[Redacted]	[Redacted]	Reasonable		High/Open	20		[Redacted]	James Wallace	Dundee as HQ-Operational Readiness- People- Workforce Planning- External Relationships- Reputational	07/08/20- Update provided from AO for Aug RRG  16/07/2020 (RM): Risk Review Group would like scoring reconsidered- discussion for August Group.  Updated 23/06/20- Discussion with AO- feels the risk score should remain high until Dundee is addressed- AO to discussed with RO.  18/06/20- Updated provided from AO- no request to rephrase risk.  09/06/20- Awaiting update from AO  14/11/19- Risk now transferred from Programme in full. Risk to be closed on Programme risk register as ownership and control now with Agency.  Updated from Action Owner 05/08/19.
AS-R037a (RES-005 Corporate Services)	23/01/19	Resource	[Redacted]	5	4	20	5	4	20	Static	[Redacted]	[Redacted]	Reasonable		High/Open	20		[Redacted]	James Wallace	External Relationships/ Stakeholders- Culture- People- Reputation	19/06/20- Rephrasing accepted  29/05/20 Risk to be rephrased- awaiting approval of Risk Owner  Issue in some areas- especially under COVID-19

AS-R047	30/01/19	Operational Delivery	[Redacted]	5	5	25	5	4	20	Static	[Redacted]	[Redacted]	Reasonable		High/Open	20		[Redacted]	James Wallace	External Relationships/Stakeholder-Finance-Reputation-Behaviours-Cultural- People-Operational Readiness	[Redacted]
AS-R048 (SS-R012)	30/01/12	Resource	[Redacted]	4	4	16	4	3	12	Decrease	[Redacted]	[Redacted]	Limited		High/Open	20		[Redacted]	Miriam Craven	Workforce Planning-Reputational-Financial-Operational Readiness.  Linked to AS-R001a, 002a and 034a	[Redacted]
AS-R060	06/03/19	Compliance	[Redacted]	4	4	16	2	4	8	Increase	[Redacted]	[Redacted]	Limited		Low/Minimalist	10		[Redacted]	Miriam Craven	People- Culture-Behaviours	16/07/2020 (RM): Risk update accepted by Group.  03/07/20- Updated by score is not reflective and is being increase from 2x2 to 2x4  19/06/20 Project jointly owned with [Redacted]  This is more than just benefit.  04/06/20 This is about process assurance from "application to payment". Risk requires rephrasing and re-scoring. Laura Shand leading on work for [Redacted]
AS-R061	20/03/19	Governance	[Redacted]	4	4	16	4	3	12	Decrease	[Redacted]	[Redacted]	Limited		Medium/Cautious	15		[Redacted]	Miriam Craven	External Relationships/Stakeholder- People-Reputational	16/07/2020 (RM): Risk to be re-visited again as there is still confusion around the nature of this risk. Discuss with Action Owner.  15/06/20- Risk management function to discuss with [Redacted]  04/06/20- [Redacted]

																				not risk owner- this work may sit with [Redacted] risk management function to contact to ask the question.  14/02/20- Proposed change of Action owner- to be discussed	
AS-R062 (SS-R054)	23/03/19	Governance	[Redacted]	4	4	16	4	2	8	[Redacted]	[Redacted]	[Redacted]	Reasonable		Medium/Cautious	15		[Redacted]	Miriam Craven	Potential category change to Compliance  Reputation- Finance- Information Governance- Information Security- Operational Readiness.	28/02/20- Risk rephrased and accepted by Action Owner and Risk Owner.  Action Owner recommending a lowering of likelihood from 4 to 2 as IG team have confident control on the pipeline of work in programme and [Redacted] and Action Owner are both content with standard and findings of DPIAs. DPIAs are the primary mitigation in this risk.  Accepted at Risk Review Group March 20  Linked to Programme Risk SS-R054 (current score 15)
De-escalate?  AS-R063 (SS-R022)	25/06/19	Operational Delivery	[Redacted]	4	4	16	4	4	16	Static	[Redacted]		Limited		High/Open	20		[Redacted]	Janet Richardson	External Relationships/Stakeholders- Reputational- Finance- Operational Readiness	03/08/20- Email from [Redacted] proposing de-escalation of risk. Meeting to be arranged to discuss and progress.  29/06/20- Discussion with [Redacted] who will assess risk and determine where it should currently sit- Action Owner and Risk Owner to change.  10/06/20- Potential

																				<p>rewording and transfer of RO.</p> <p>09/06/20- Awaiting update from AO</p> <p>Linked to Programme risk SS-R022</p> <p>Updated 13/09/19 by Risk Management Function:</p> <p>Follow up with Assessment Project leads once established in role.</p>
AS-R064 (CDO SMT-010 and SS-R063)	18/09/19	Operational Delivery	[Redacted]	4	4	16	4	3	12	Decrease	[Redacted]	[Redacted]	Limited		Medium/Cautious	15		[Redacted]	Miriam Craven	<p>External Relationships/ Stakeholders- People- Finance- Reputation- Operational Readiness</p> <p>16/07/2020 (RM): [Redacted]</p> <p>04/06/20</p> <p>This risk does need re-phrasing but does not have a score change.</p> <p>AO may change to [Redacted]</p> <p>Update 17/02/19- Risk presented to Audit and Assurance Committee February 2020 for Deep Dive</p> <p>Update 27/09/19 Update from CDO mirrored risk SMT-010</p>
AS-R065	20/03/20	Policy	[Redacted]	5	4	20	4	4	16	Increase		[Redacted]	Reasonable		Medium/Cautious	15		[Redacted]	James Wallace	<p>External Relationships/ Stakeholders- Reputation- Finance- Culture- People- Behaviour</p> <p>16/07/2020 (RM): Risk update accepted.</p> <p>21/05/20- Impact score reduced to 3 at this time., but to be reviewed again in October. Agreed at May RRG.</p> <p>March 2020</p> <p>The reworking to re-align the product to policy intent would be</p>

																				substantial and has already been highlighted from Internal Audit review.  [Redacted]	
AS-R066	20/03/20	Policy	[Redacted]	4	5	20	4	5	20	Static	[Redacted]	[Redacted]	Limited		Medium/Cautious	20		[Redacted]	James Wallace	Information Governance- Finance- Reputation- Information Security- Behaviours- Operational Readiness	16/07/2020 (RM): Update accepted by Group.  [Redacted]
AS-R070	20/03/20	Operational Delivery	[Redacted]	5	5	25	5	4	20	Decrease	[Redacted]	[Redacted]	Reasonable		High/Open	20		[Redacted]	Jane Richardson	Reputation- Financial- People- Culture- Behaviours	[Redacted]
AS-R072	21/05/20	Compliance	[Redacted]	4	4	16	4	2	8	Decrease	[Redacted]	[Redacted]	Substantial		Low/Minimalist	10		[Redacted]	Miriam Craven	Information Governance	New Risk accepted 21/05/20 by Risk Review Group from [Redacted]
AS-R073	21/05/20	Security	[Redacted]	3	3	9	3	3	9	Static	[Redacted]	[Redacted]	Reasonable		Medium/Cautious	15		[Redacted]	Janet Richardson	External relationships/Stakeholders- Information Security- Information Governance- Finance- Reputation	19/06/20- Rephrasing accepted.  12/06/20- Mitigation and Action updates provided to RRG June; If rephrasing accepted then agreed review of risk needs to take place in regards to overall impact scoring tables.  27/05/20- Potential change of Risk Owner to Janet Richards as Senior Information Risk Owner.  New Risk accepted 21/05/20 by Risk Review Group from [Redacted]
AS-R074 (NEW)	Awaiting to be accepted	Governance	[Redacted]	4	3	12	4	2	8	Decrease	[Redacted]	[Redacted]	Substantial	4				[Redacted]	Miriam Craven	Behaviour, Culture, People and Reputation.	16/07/2020 (RM): This risk required work being done on the definition of organisational culture by Internal Audit to allow refinement of the risk description prior

