

Risk Landscape Update for Audit and Assurance Committee- September 2022

The following is provided as update on the Strategic Risk Register and the work of Social Security Scotland's risk management function between May 2022 and August 2022:

- AS-R088 Added to Strategic Risk Register
- AS-R089 Added to Strategic Risk Register
- AS-R090 Added to Strategic Risk Register
- AS-R091 Added to Strategic Risk Register
- AS-R092 Added to Strategic Risk Register
- AS-R093 Added to Strategic Risk Register
- AS-R094 Added to Strategic Risk Register
- AS-R095 Added to Strategic Risk Register
- AS-R075 closed- now being tracked as an issue
- AS-R084 closed- de-escalated to Divisional level.
- AS-R088 closed- de-escalated to Divisional level.

Table 1 & 2- Changes of Position of Risk May 2022 to August 2022

Table 1- Position at end of April 2022

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-R081	AS-R070	AS-R015b* AS-R087*	
4		AS-R062 AS-R074	AS-R001a AS-R002a AS-R048 AS-R064 AS-R072	AS-R012a* AS-R060* AS-R075* AS-R080* AS-R084*	AS-R029* AS-R066* AS-R077* AS-R078* AS-R083*
3					
2					
1					
	1	2	3	4	5

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Table 2- Current Position at end of August 2022

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-R081	AS-R070 AS-R087	AS-R015b* AS-R087* AS-R094*	
4		AS-R062 AS-R074	AS-R001a AS-R002a AS-R048 AS-R064 AS-R072 AS-R080*	AS-R012a* AS-R060* AS-R075* AS-R077* AS-R083* AS-R090* AS-R091* AS-R093*	AS-R029* AS-R066* AS-R078* AS-R089* AS-R095*
3			AS-R092		
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	
Compliance	AS-R060*	16
	AS-R072*	12
	AS-R080*	12
	AS-R083*	16
	AS-R092	16
Financial	AS-R001a	12
	AS-R012a*	16
	AS-R081	10
	AS-R087*	9
	AS-R091	16
Governance	AS-R015b	20
	AS-R062	8
	AS-R074	8
Operational Delivery	AS-R002a	12
	AS-R029*	20
	AS-R064	12
	AS-R070	15
	AS-R085	5
	AS-R089	20
	AS-R090	16
	AS-R077*	16

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Category	Risk	Score
Operational Readiness	AS-R078*	20
	AS-R094	9
	AS-R095	20
Policy	AS-R066*	20
Resource	AS-R048	12
Security	Nil	
Technology	AS-R093	16

Changes to Risk Profile

Tables 4 to 11 - New Risk added to Strategic Risk Register

Table 4

AS-R088 (please note this risk also features in table 12, closed risks)			
Date Added	May 2022	Risk Type	Operational Readiness
Risk Description	If a joint strategic solution for payment of DWP Christmas bonus is not developed		
Current Impact	2	Current Likelihood	5
Action Owner	[redacted]	Risk Owner	Janet Richardson
Detail	<ul style="list-style-type: none"> The current tactical solution to address Christmas bonus payment does not work. As we move to ADP national the numbers of clients qualifying for subsequent Christmas bonus payments will increase significantly. 		

Table 5

AS-R089			
Date Added	May 2022	Risk Type	Operational Delivery
Risk Description	Coherent, strategic and aligned Agency approach needed for the mailrooms		
Current Impact	4	Current Likelihood	5
Action Owner	To be confirmed	Risk Owner	Janet Richardson
Detail	<ul style="list-style-type: none"> Lack of a coherent, strategic and aligned agency approach for the mailroom in place at the moment. More guidance is required for the risk. 		

Table 6

AS-R090			
Date Added	May 2022	Risk Type	Operational Delivery
Risk Description	If Scottish Administrative Exercises undertaken need resource to avoid impact on capacity		
Current Impact	4	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Janet Richardson
Detail	<ul style="list-style-type: none"> Work is ongoing in the Operational Policy space around this, however at present we are not yet aware of the operational resource requirements for any exercise. In order to move staff in CSD across benefits systems profiles, we need to look at the time it takes to move staff to support other benefits. 		

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Table 7

AS-R091			
Date Added	June 2022	Risk Type	Financial
Risk Description	Improvements needed for forecasting workforce data		
Current Impact	4	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	[redacted]
Detail	<ul style="list-style-type: none"> Escalated from Finance and Corporate Divisional Register. This is regarding teams not being resourced appropriately, leading to delivery or efficiency impacts causing financial impacts. 		

Table 8

AS-R092			
Date Added	July 2022	Risk Type	Compliance
Risk Description	The organisation recognises that as a new employer it must implement an effective health and safety management system otherwise it may fail to protect its people or others from harm or injury, breaching health and safety legislation		
Current Impact	3	Current Likelihood	3
Action Owner	[redacted]	Risk Owner	All Deputy Directors
Detail	<ul style="list-style-type: none"> Risk has been escalated from the Divisional Register. This risk has been escalated as it is broad and covers different aspects of Health and Safety. The introduction of Hybrid Working has made this risk more high profile. A current control is that Health and Safety Team continue to develop policies and procedures for implementation across the organisation. 		

Table 9

AS-R093			
Date Added	July 2022	Risk Type	Technology
Risk Description	Maintaining Cyber Resilience		
Current Impact	4	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Andy McClintock
Detail	<ul style="list-style-type: none"> • Risk that was brought by Chief Digital Office to be added to Strategic Risk Register. • Describes the risk if we do not build and maintain an effective cyber resilience. • Development of Cyber Resilience action and improvement plan to be delivered by end of August 2022. 		

Table 10

AS-R094			
Date Added	July 2022	Risk Type	Operational Readiness
Risk Description	Enough resource to deal with Safeguarding Referrals		
Current Impact	5	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Professor Paul Knight
Detail	<ul style="list-style-type: none"> • This Risk was initially one risk at divisional level but was separated into two risks (Other Risk is now AS-R095) • The organisation risks a lack of resource available to process the rising number of referrals of safeguarding cases for Adult Disability Payment. 		

Table 11

AS-R095			
Date Added	July 2022	Risk Type	Operational Readiness
Risk Description	Learning to enable staff to deal with Safeguarding clients		
Current Impact	5	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Professor Paul Knight
Detail	<ul style="list-style-type: none"> Limited learning structure for staff to recognise, manage and escalate safeguarding cases. This Risk was initially one risk at divisional level but was separated into two risks (Other Risk is AS-R094) 		

Table 12 - Closed Risk- Tracking as Issues.

Table 12

AS-R075			
Date Closed	July 2022	Risk Type	Operational Readiness
Risk Description	Impact from insufficiently developed processes to maintain ongoing benefits.		
Current Impact	4	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Janet Richardson & James Wallace
Detail	<ul style="list-style-type: none"> Risk has now been closed and Risk team are working with the Action Owners in order to word the issue to add to Strategic Issue Log. 		

Table 13 & 14 - Closed Risk- De-escalated to Division for tracking

Table 13

AS-R084			
Date Closed	June 2022	Risk Type	Operational Readiness
Risk Description	Impact of failing to access near real-time data with implementation of Business Information Reporting Tool (BIRT)		
Current Impact	2	Current Likelihood	2
Action Owner	[redacted]	Risk Owner	Miriam Craven
Detail	<ul style="list-style-type: none"> • Risk has been de-escalated to Strategy, Change, Data and Engagement Divisional Risk Log. • Partial BIRT functionality has been implemented. Further development in progress. Resource has been made available to fix this. BIRT functionality has been implemented and been live for a while. Only one outstanding issue around presentation and should be remedied in the July 2022 release. 		

Table 14

AS-R088			
Date Closed	August 2022	Risk Type	Operational Delivery
Risk Description	If a joint strategic solution for payment of DWP Christmas bonus is not developed		
Current Impact	4	Current Likelihood	4
Action Owner	[redacted]	Risk Owner	Janet Richardson
Detail	<ul style="list-style-type: none"> • Risk has been de-escalated to Disability and Carers' Project Raid Log. • Tactical solution now in place - Ran the fixed batch which returned 2150 records. These were encrypted and sent to DWP, who confirmed receipt and de-encryption. DWP now working through these files for payment. • For the Strategic solution work now ongoing with DWP to develop a weekly batch update to "sweep up" all those who qualify for Christmas bonus as they move through the claims process. Due for delivery end October 2022. 		