

Corporate Services Risk Register - Appendix B5

| | | | | | | | | | | DATE LAST REVIEWED: | 02/06/2020 | | |
|-----|--------------------|--|--|------------------------------------|--|--------|-------------|--|--|---------------------|-------------|---|--------------|
| REF | DIVISION | RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title) | RISK CAUSE & EFFECT | RISK CATEGORY | GROSS RISK RATING (See next tab for guidance) | | | EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK | CURRENT RISK RATING (See next tab for guidance) | | | FURTHER ACTION REQUIRED | RISK OWNER |
| | | | | | LIKELIHOOD | IMPACT | RISK RATING | | LIKELIHOOD | IMPACT | RISK RATING | | |
| 1 | Corporate Services | IT Security failure | <p>Cause(s): Failure of IT Security (responsibility across Bromley & BT) to manage risk of attack or intrusion leading to potential corruption / loss of data / loss of systems</p> <p>Effect(s): Loss of service, potential fines, resident dissatisfaction</p> | Data and Information | 4 | 5 | 20 | <ul style="list-style-type: none"> - Application of effective security management including effective application of anti-virus protection and security measures through the IT Contract with BT - Regular Penetration Testing undertaken - Information Security Team in place - Patch updates undertaken regularly - IG training programme - PSN Compliant | 2 | 5 | 10 | | Vinit Shukle |
| 2 | Corporate Services | Telecommunications failure Prolonged telecoms / switchboard failure | <p>Cause(s): Power surge, contractor failure, malicious attack, IT failure</p> <p>Effect(s): Widespread disruption across the Council</p> | Data and Information | 3 | 5 | 15 | <ul style="list-style-type: none"> - Stand-by arrangements available so that in the event of failure highest priority services can be recovered - Technical design takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - All Critical Services now have additional independent lines as contingency (if not their first line) - Additional resilience in use of LBB mobile phones - The ICT Disaster Recovery Plan is in progress - Working with BT to implement disaster recovery arrangements as part of new backup contract - Effective application of anti-virus protection and security measures through the IT contract with BT | 2 | 3 | 6 | <ul style="list-style-type: none"> - Virtualisation project will help facilitate disaster recovery provision - Secondary Session Initiation Protocol (SIP) connection being added to provide resilience. | Vinit Shukle |
| 3 | Corporate Services | IT System Failure (partial loss) Partial loss of IT systems | <p>Cause(s): Failure of Outlook or similar applications Failure of Novell Filing Registry system which carries details of all departmental files</p> <p>Effect(s): Widespread disruption across the Council</p> | Data and Information - Operational | 4 | 4 | 16 | <ul style="list-style-type: none"> - Effective incident management / support and resilient systems in use so that single points of failure are minimised - Technical design that takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - Ensure proactive monitoring tools are in place to highlight potential issues before there is a major incident - System now migrated to the server - No longer dependent on Win7 - all services successfully transferred. However, the Novell filing registry/Regnet system has no further upgrade options and is not compatible with Win10 which will be deployed before December 2019 (Win7 support expiry date) | 4 | 3 | 12 | <p>The Norwell System is currently used by legal team for historical file information only on a 'stand alone' PC. As part of any future platform upgrades, investigation will need to be carried out as to whether this option is still viable (by way of impact assessment) or look at migrating the historical data into Norwel (the current system).</p> | Vinit Shukle |
| 4 | Corporate Services | IT System Failure (total loss) Complete failure of IT systems resulting in widespread disruption across the Council | <p>Cause(s): Complete loss of data centre and related hardware</p> <p>Effect(s): Widespread disruption across the Council Financial loss Reputational impact</p> | Data and Information - Operational | 3 | 5 | 15 | <ul style="list-style-type: none"> - Effective incident management / support and resilient systems in use so that single points of failure are minimised - Technical design that takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - Ensure proactive monitoring tools are in place to highlight potential issues before there is a major incident - Backup power arrangements in the event of power issues (most likely) - Server room has fire suppression, water detection and significant physical security measures have been undertaken. | 2 | 4 | 8 | <ul style="list-style-type: none"> - Property are planning additional works to resolve the issues that caused the outages, but until then we remain at an elevated risk. | Vinit Shukle |
| 5 | Corporate Services | Network Loss Loss of the customer service centre network as a result of a major malfunction of the council's network, leading to system access loss preventing staff from processing service requests. | <p>Cause(s): Major malfunction of council's network caused by Cyber Attack or other means</p> <p>Effect(s): Loss of system access Service Disruption Reputational impact</p> | Data and Information - Operational | 3 | 3 | 9 | <ul style="list-style-type: none"> - Existing local resilience procedures (over Liberata network via Citrix) - Business Continuity Plan and manual procedure plans in place - Prepared for use of smart telephony messaging, web banner message and reception signage | 3 | 2 | 6 | | Vinit Shukle |

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| 6 | Corporate Services | Budgetary overspend | <p>Cause(s): Overspending budgets as a result of increased costs outside Council's direct control (e.g. increase in minimum wage, court / legal fees)</p> <p>Effect(s): Financial</p> | Economic - Strategic | 4 | 3 | 12 | <ul style="list-style-type: none"> - Effective forward budgetary planning - On-going engagement with stakeholders - On-going management of costs, demand forecasting, allocation of existing resources | 3 | 3 | 9 | - Identify "risk areas" (e.g. contracts using low paid labour) | Director of Corporate Services | |
| 7 | Corporate Services | Failure to follow Legal Advice Breach of law, statutory duty or carrying out inadequate consultation arising from failure of clients to follow Legal briefing procedures | <p>Cause(s): Advice not being sought and/or followed by clients.</p> <p>Effect(s): - Breach of statutory obligations through failure of compliance with relevant legislation (e.g. 'Duty to Consult', EU Procurement Rules, Health and Safety etc.) leading to adverse publicity and significant costs including fines. - Council making unlawful decisions - Potential compensation to injured parties - Negative publicity - Potential judicial reviews</p> | Legal - Operational | 3 | 3 | 9 | <ul style="list-style-type: none"> - Service procurement procedures reviewed for robustness - Register of all relevant statutory requirements - Regular review of compliance - Effective training of managers in requirements of relevant legislation - Systematic consultation - Robust internal customer service standards and service delivery meetings - Continuous learning and feedback - Statutory requirements (awareness and training) | 2 | 3 | 6 | | Director of Corporate Services | |
| 8 | Corporate Services | Data Protection Breach | <p>Cause(s): Failure to adapt to the upcoming change in legislation (GDPR) Failure to ensure the confidentiality, integrity, and availability of information assets.</p> <p>Effect(s): 1. Distress and/or physical impact on wellbeing of customers 2. Impact on operational integrity 3. Reputational damage to services and the authority as a whole 4. Liability in law 5. Economic damage to authority and/or customers 6. Impact on service take up due to reduced confidence from the public</p> | Data and Information - Operational | 4 | 5 | 20 | <ul style="list-style-type: none"> - LBB is currently compliant with the Public Services Network Code of Connection (PSN CoCo) and Connecting for Health Information Governance Toolkit (CfH IGT). The LBB Information Governance Board formally accepted the CfH IGT as the basis of LBB's internal information governance program at their meeting in August 2012. Both standards are based on the ISO27001 international best practice standard for managing information security and are therefore fit for purpose for assessing and managing the Council's information risk - GDPR Training programme in place - Induction programme in place - Additional resources to manage risk | 2 | 3 | 6 | | Director of Corporate Services | |
| 9 | Corporate Services | Failure to publish Register of Electors | <p>Cause(s): Failure of IT systems Insufficient resources provided to Electoral Registration Officer to deliver a comprehensive canvass Failure to follow legislative and regulatory requirements</p> <p>Effect(s): Disenfranchisement of local residents Potential to challenge any election which relies on an inadequate register Reputational damage</p> | Political - Strategic | 2 | 3 | 6 | <p>Controls:</p> <ol style="list-style-type: none"> 1. Project Plan including detailed Risk Register 2. Robust documented internal procedures 3. Monitoring by Electoral Commission through appropriate Performance Standards | 1 | 3 | 3 | | Carol Ling | |

Corporate Services Risk Register - Appendix B5

| | | | | | | | | | | | DATE LAST REVIEWED: | 02/06/2020 | |
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| 10 | Corporate Services | Failure to manage election process | Cause(s): Failure of Council in its duty to provide sufficient resources to the Returning Officer Failure of IT systems Effect(s): Costs of dealing with a challenge to election process Reputational damage Cost of re-running an election if result is set aside | Political | 3 | 4 | 12 | - Project Plan including detailed Risk Register specific to election underway - Staff Training - Adequate insurance (Returning Officer - personal liability) - Monitoring by Electoral Commission through appropriate Performance Standards. | 2 | 3 | 6 | | Carol Ling |
| 12 | Corporate Services | Effective governance and management of contracts | Cause(s): - Lack of clear management across contracts - Capacity and capability - Contract management processes ineffective - Organisational culture and understanding Effect(s): - Financial losses - Service disruptions - Poor quality services | Procurement & Contracts | 3 | 4 | 12 | - Contract Procedure Rules and regular Practice / Guidance notes to all Contract Owners - Review of contract management and contract monitoring controls including any issues identified by internal audit - Contracts Database and Quarterly Contracts Database Report to all relevant Committees - Procurement Board oversight - Member scrutiny including regular Contract Monitoring Reports for £500k+ contracts - Regular programme of training delivery to staff - Quarterly Contract Owners meetings | 3 | 4 | 12 | - Contract Management guidance on toolkit to be reviewed - Review of Contract Procedure Rules - Ongoing training delivery - Improve compliance with annual Contract Monitoring Requirement | Service Directors supported by Assistant Director, Governance and Contracts |
| 13 | Corporate Services | Database Utilisation | Cause(s): - Lack of organisational buy-in from contract managers - Lack of governance - Poor awareness / education in understanding purpose Effect(s): - Impacts upon decision making and outcomes - Poor quality data - Commissioned services not fit for purpose - Increased financial costs | Procurement & Contracts | 3 | 3 | 9 | 1. Database guidance issued to officers 2. Follow-ups issued to remind contract managers and commissioners 3. Quarterly Member reporting 4. Sign-off by CLT | 3 | 3 | 9 | 1. Ongoing monitoring of database to ensure it remains accurate and comprehensive. | Assistant Director, Governance and Contracts |

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.