

Corporate Services Risk Register - Appendix B

											DATE LAST REVIEWED:	06/05/2022	
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
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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	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).	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	- 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
6	Corporate Services	Laptop Manufacturer/Provider Issue Current model of corporate laptop in constraint	<p>Cause(s): Delays/constraints in production due to Pandemic issues and/or component availability</p> <p>Effect (s): IT will not be able to deliver laptop requirements for new starters or provide additional laptops for existing staff</p>		4	3	12	<ul style="list-style-type: none"> BT managing the hardware roadmap with third party supplier Alternative specification laptop sourced Rolling stock management in place 	1	1	1	Alternative make and model of laptop be sourced, and tested with corporate build for compatibility and performance	Vinit Shukle
7	Corporate Services	Delay in IT Managed Service re-procurement	<p>Cause(s): Reduced resourcing within the IT Re-Procurement programme owing to current pandemic situation</p> <p>Effect (s): Current IT contractor would maintain service and revert to their standard T&Cs & pricing, affecting budgets.</p>		3	2	6	<ul style="list-style-type: none"> Central Document repository storing all information x2 Consultants already appointed in addition to LBB staff 	1	1	1	Potential renegotiation of T&C & pricing	Vinit Shukle

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8	Corporate Services	Effective governance and management of information	<p>Cause(s):</p> <ul style="list-style-type: none"> - Lack of organisational buy-in from information asset owners - Lack of governance - Poor awareness / education in understanding purpose <p>Effect(s):</p> <ul style="list-style-type: none"> - Breach of statutory obligations through failure of compliance with relevant legislation e.g. GDPR, UK DPA, FOIA, EIR - potential fines - increased information security attack surface - increased storage costs for on-prem data 	Data and Information - Operational	4	4	16	<ul style="list-style-type: none"> - information governance training provided to all officers - system security reviews - SIEM system monitoring - Data Protection Impact Assessments 	3	4	12	review and implementation of retention schedule in all systems hosting data	Vinit Shukle
9	Corporate Services	Compliance with Information Request laws	<p>Cause(s):</p> <ul style="list-style-type: none"> - Lack of organisational awareness - responsibility for responding are add on tasks to existing roles - data sprawl and lack of retention - large data scopes - lack of indexing and search capabilities <p>Effect(s):</p> <ul style="list-style-type: none"> - Breach of statutory obligations through failure of compliance with relevant legislation e.g. GDPR, UK DPA, FOIA, EIR - potential fines - reputational damage 	Data and Information - Operational	4	5	20	<ul style="list-style-type: none"> - information governance training provided to all officers - system security reviews - SIEM system monitoring - Data Protection Impact Assessments 	3	5	15	<ul style="list-style-type: none"> - increased training and awareness - experienced resources to triage and redact where necessary - improved technical measures to assist data searches 	Vinit Shukle
10	Corporate Services	Budgetary overspend	<p>Cause(s):</p> <p>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):</p> <p>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" (eg identify source of funding before committing resources, looking at flexible resourcing, growing our own talent by recruiting at lower grades, managing contracts proactively)	Director of Corporate Services
11	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):</p> <p>Advice not being sought and/or followed by clients.</p> <p>Effect(s):</p> <ul style="list-style-type: none"> - 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 	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
12	Corporate Services	Data Protection Breach	<p>Cause(s):</p> <p>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):</p> <ol style="list-style-type: none"> 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 	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
13	Corporate Services	Failure to publish Register of Electors	<p>Cause(s):</p> <p>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):</p> <p>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
14	Corporate Services	Failure to manage election process	<p>Cause(s):</p> <p>Failure of Council in its duty to provide sufficient resources to the Returning Officer Failure of IT systems</p> <p>Effect(s):</p> <p>Costs of dealing with a challenge to election process Reputational damage Cost of re-running an election if result is set aside</p>	Political	3	4	12	<ul style="list-style-type: none"> - 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

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15	Corporate Services	Ineffective governance and management of contracts	<p>Cause(s):</p> <ol style="list-style-type: none"> Lack of awareness and/or non-compliance with Public Contracts Regulations 2015 and Councils Contract Procedure Rules. Lack of awareness and/or non-compliance with decision making and scrutiny requirements. Insufficient engagement with key support services such as Corporate Procurement, Finance and Legal. Poor planning / lack of timely action for commissioning and procurement activities. Poor record keeping of contracts and contract documentation. Insufficient or unclear arrangements for client side contract management and monitoring resource. Failure to undertake a suitable and proportionate contract management and monitoring plan. Failure of a contractor / partner / provider to maintain agreed service levels resulting in an interruption to or deterioration of service delivery. <p>Effect(s):</p> <ul style="list-style-type: none"> Failure to ensure Value for Money Procurement challenges / complaints leading to delays and potential additional costs Reputational risk Service disruptions Contracts do not deliver expected outcomes or deliver sufficient quality Increased cost and resource to manage contract issues Failure to achieve our Making Bromley Even Better priorities. 	Contract Management Contractual and Partnership	3	4	12	<ul style="list-style-type: none"> 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 Recent Audit (Substantial Assurance) demonstrates current effectiveness 	2	4	8	<ul style="list-style-type: none"> Contract Management guidance on toolkit to be reviewed Ongoing training delivery Improve compliance with annual Contract Monitoring Requirement Sample check of Contracts Database and supporting documentation to assess compliance Sample check of contract management and contract monitoring arrangements across Council ongoing and repeated high profile key messaging across the Council and monitoring of compliance 	Service Directors supported by Assistant Director, Governance and Contracts
16	Corporate Services	Ineffective governance and management of contracts - Contracts Database	<p>Cause(s):</p> <ul style="list-style-type: none"> Lack of compliance from contract managers Unclear ownership Lack of governance Poor awareness and/or understanding of the Database <p>Effect(s):</p> <ul style="list-style-type: none"> Impacts upon decision making and outcomes Poor quality data Failure to meet transparency obligations 	Contract Management Contractual and Partnership	3	2	6	<ol style="list-style-type: none"> Database guidance issued to officers; training available Regular monitoring of CDB by Procurement Team Quarterly reporting to Members Procurement Board Regular sample checks of data quality and completeness 	2	2	4	<ol style="list-style-type: none"> Regular reminders to Contract Owners - ongoing Regular monitoring and chase ups by Procurement Team - ongoing Regular sample checks of CDB data with reports to COE and follow up actions identified 	Assistant Director, Governance and Contracts

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