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Corporate Risk Register – Risk Status and Updates

4. The status of each Risk was discussed and updated as follows:

Strategic Risk 28

The group considered reducing the status of this risk to amber, however after a long discussion and honest thoughts from the group, the consensus was that the status should remain red. The group agreed that they will actively monitor this risk as they believe that the rating will reduce in the near future depending on the position with BT at the end of June. If we do not retract or pause the notice period by then, there will be no option for BT to provide us with a service after September.

Status and rating remain unchanged

June/07/01: ███████████ to move comments into the relevant risks.

Strategic Risk 26

The group discussed this risk and agreed the status. It was agreed that the rating is reducing as work on the transformation programme is progressing well. If we reach the end of the 30 day withdrawal period, and don't withdraw, this risk should be changed to September and/or the group should consider closing this risk and replacing it with a new risk around delivering an operating safeguarding service.

Status and rating remain unchanged

Strategic Risk 25

The group discussed this risk. ██ advised this risk should remain as it is, the group agreed.

Status and rating remain unchanged.

Information/IT Risk 1

The group discussed this risk. ██ advised there is no further update on IT Health checks for Phase 2.

Status and rating remain unchanged.

Information/IT Risk 3

The group discussed this risk. ██ has still to reword this risk, the current wording is no longer valid as the DBS transition has passed. This risk should now reflect our new Monday till Friday work patterns.

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Disclosure Scotland Corporate Risk Review Group
Thursday 07 June 13:00 – 14:30
Meeting room 1F1a, Pacific Quay

Minutes

Present: ███████████████████████

Apologies: ████████████████████

Minutes: ████████████

Welcome and Apologies

1. The Chair welcomed everyone to the meeting and above apologies were noted.

Minutes and Actions from the previous meeting

2. The minutes from the last meeting were agreed as an accurate record of discussion.

3. The Actions were updated as follows:

December/08/04: ███ to arrange risk appetite guidance and training with ███
Update: A report on risk appetite was received from the facilitator. Work will now be carried out to embed risk appetite. **Closed**

February/08/02: ███ to seek legal advice on GDPR.
Update: ███ will provide an update at the next meeting. **On-going**

May/03/01: ███ to add an update to the risk register.
Update: ███ updated Strategic Risk 26. **Closed**

May/03/02: ███ to review wording of risk
Update: ███ to review the wording of Information/IT Risk 3. **On-going**

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On-going Action: May/03/02 ▓ to review the wording of Information/IT Risk 3

Status and rating remain unchanged.

Strategic Risk 27

The group discussed this risk. ▓ advised that we are in a reasonable place with this risk. We are now in the 4 month notice period with BT. We have agreement that for the first month of this notice period, we have the ability to pause the notice should unforeseen issues occur which are likely to put the safeguarding service at risk. In line with this, we gave BT notice at the end of May. We have until the end of June to take a final decision on our readiness to take full control of the safeguarding function at the end of September. If we do not retract or pause the notice period by then, there will be no option for BT to provide us with a service after September.

Status and rating remain unchanged.

Operational Risk 8

▓ and ▓ advised there have been no reports of recent incidents.

Status and rating remain unchanged.

Escalations

5. There were no escalations.

Risk Horizon Scanning

6. The group discussed/raised their concerns on recruitment of IT staff to support our in-house IT system.

AOB

7. ▓▓▓▓▓ will chair the next CRRG on Thursday 5th July.

8. The group discussed the risk workshop output from Scott-Moncrieff, ▓ advised we need to consider how this should be taken forward.

June/07/02: ▓▓▓▓▓ to arrange a meeting with ▓▓▓▓▓ and ▓▓▓▓▓ to discuss risk appetite and the workshop output.

June/07/03: ▓▓▓▓▓ to circulate the risk workshop output to the Leadership Team and Performance Team for review and comment.

Date/Venue of next Meeting: Thursday 5th July 13:00 – 14:30, Meeting room 1F1a, Pacific Quay

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Action List – June 2018

Action	Details	Responsible	Update
December/08/04	█████████ to arrange risk appetite guidance and training with ████████.	████████	Representative from Scottish Government Governance & Risk Team will be attend the DS Board on 12th March to give a presentation on Risk Appetite **10/04:** ██ has a meeting with Chief Executive after which ██████ will confirm next steps with ██. Risk appetite is scheduled to be discussed at the next DS Board Away Day. **03/05:** ██ met with the facilitator (18/04/18) to agree the structure of the Board Away Day discussion. **07/06:** A report on risk appetite was received from the facilitator. Work will now be carried out to embed risk appetite. **Closed**
February/08/02:	██ to seek legal advice on ████████	████████	██████████ followed this up with SG Legal Team earlier this week, still awaiting a response. **10/04:** There is no further update. **03/05:** SGLD referred us to ████████ **07/06:** ██ will provide an update at the next meeting. **On-going**

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May/03/01	▊ to add an update to the risk register.	▊▊▊▊	▊ updated Strategic Risk 26. **Closed**
May/03/02	▊ to review the wording of Information/IT Risk 3	▊▊▊▊	▊ to review the wording of Information/IT Risk 3 **On-going**
June/07/01:	▊ to move comments into the relevant risks.	▊▊▊▊	
June/07/02:	▊▊▊▊ to arrange a meeting with ▊▊▊ and ▊▊▊ to discuss risk appetite and the workshop output.	▊▊▊	
June/07/03:	▊▊▊▊ to circulate the risk workshop output to the Leadership Team and Performance Team for review and comment.	▊▊▊▊	▊▊▊▊ asked Lorna Gibbs to circulate the report to SLT for comment and then tables for Board discussion.

Disclosure Scotland Corporate Risk Review Group
Thursday 05 July 2018 13:00 – 14:30
Meeting room 1F1a, Pacific Quay

Minutes

Present:　███████████████████████

Apologies:

Minutes:　██████████

Welcome and Apologies

1. The Chair welcomed everyone to the meeting and above apologies were noted.

Minutes and Actions from the previous meeting

2. The minutes from the last meeting were agreed as an accurate record of discussion.

3. The Actions were updated as follows:

February/08/02: ██to seek legal advice on GDPR.

Update: ██ received a response from ████████ in regards to consent. They advised that we should put reasonable actions in place to mitigate. ██ advised this is something we have already done and will continue to keep under review. **Closed**

May/03/02: ██ to review wording of risk

Update: ██ updated this risk. **Closed**

June/07/01: ■ to move comments into the relevant risks.

Update: ■ will follow this up after the meeting on 05/07. **Ongoing**

June/07/02: ■ to arrange a meeting with ■ and ■to discuss risk appetite and the workshop output.

Update: ■ advised this action should be closed as the situation has changed and this will be picked up at a later date. **Closed**

June/07/03: ■ to circulate the risk workshop output to the Leadership Team and Performance board for review and comment.

Update: ■ will circulate this to the Performance Team once it has been to the Board. **Closed**

Corporate Risk Register – Risk Status and Updates

4. The status of each Risk was discussed and updated as follows:

Strategic Risk 28

■ highlighted the high response rate internal audit received during the Culture in Leadership Review. There is currently a lot of collaboration within DS and people are still under pressure during this period of change. The group agreed that this risk should remain red and should be monitored over the cutover period.

Status and rating remain unchanged

Strategic Risk 26

The situation has changed as BT were provided (on 28/06/18) with formal confirmation to terminate the contract by end September 18 after DS obtained Ministerial clearance to proceed. ■ and ■raised concerns around having a service provision in place before the legacy system is decommissioned. The group agreed that this risk remains as the causes and potential consequences are still relevant.

■ advised the business transformation risk that sits with the programme should be considered for escalation.

July/07/01: ■ to circulate a programme risk (business transformation risk in regards to cutover) to CRRG and the CRRG need to consider if it should be escalated for Corporate sight.

July/07/02: ■ to reword this risk to focus on delivery and the impact on operations.

Status and rating remain unchanged

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Strategic Risk 25

██ advised that we have obtained confirmation from SG officials that our CDEL pressure / requirement of £3.1 million will be met.

Status and rating remain unchanged

Information/IT Risk 1

██ advised this risk remains the same and mitigations are ensuring that we appropriately treat.

Status and rating remain unchanged.

July/07/03: Risk owner needs to be confirmed for Information/IT Risk 1.

Information/IT Risk 3

Group agreed the changes made to the narrative. The group advised that the pressures of concurrent users should also added to the causes of this risk.

Causes, consequences and mitigations were discussed. Based on the evidence for the last quarter the residual risk status is decreasing. Rating to be changed to major and possible, status revised to yellow. CRRG will need to consider closing this risk after BT exit.

Residual rating changed to major and possible (revised to yellow status).

July/07/04: ██ to add the pressures of concurrent users to Information/IT Risk 3.

Strategic Risk 27

██ advised that the initial Transition Implementation Board was a success. Proximity changed to 0-3 months. CRRG will need to consider closing this risk after BT exit.

Status and rating remain unchanged. Proximity changed to 0-3 months.

Operational Risk 8

The group discussed the potential for the risk status being heightened, given manual procedures, over the short-term. It was agreed that the Performance Team should look at the mitigations in place to determine if likelihood of occurrence will increase, discuss additional actions required and advise status to CRRG in line with emerging evidence.

The group discussed who the risk owner should be, ██████████ as DPO or ██████ ███████ as SIRO.

Status and rating remain unchanged.

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July/07/05: Risk owner needs to be confirmed for Operational Risk 8.

July/07/06: Performance Team to look at the mitigations in place to determine if likelihood of occurrence will increase, discuss additional actions required and advise status to CRRG in line with emerging evidence.

Escalations

5. There were no escalations.

Risk Horizon Scanning

6. None

AOB

7. ▇ highlighted the revised SG risk guidance to the group. ▇ will circulate this to the CRRG and will add it to the agenda for the next meeting for the group to consider moving to this approach.

8. The risk appetite workshop output will be further discussed by the Board in September and CRRG will be informed in due course.

Date/Venue of next Meeting: Thursday 9th August 13:00 – 14:30, Meeting room 1F1a, Pacific Quay

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Action List – July 2018

Action	Details	Responsible	Update
June/07/01:	Move comments into the relevant risks	███████	██ updated Operational Risk 8, Amendments highlighted in red for CRRG. **CLOSED**
July/07/01:	Circulate a programme risk (business transformation risk in regards to cutover) to CRRG and the CRRG need to consider if it should be escalated for Corporate sight	██████	
July/07/02:	Reword risk SR 26 to focus on delivery and the impact on operations	██████	
July/07/03:	Risk owner needs to be confirmed for Information/IT Risk 1	███████	
July/07/04:	Add the pressures of concurrent users to Information/IT Risk 3	██████	10/07: Wording amended to include concurrent users **CLOSED**
July/07/05:	Risk owner needs to be confirmed for Operational Risk 8	███████	
July/07/06:	Performance Team to look at the mitigations in place to determine if likelihood of occurrence will increase, discuss additional actions required and advise status to CRRG in line with emerging evidence	Moderator of PT	Risk discussed risk at the Performance Team meeting on 11th July.

Disclosure Scotland Corporate Risk Review Group
Thursday 06 September 2018 13:00 – 14:30
Meeting room 1F1a, Pacific Quay

Minutes

Present: ███████████████████

Apologies: █████████████

Minutes: ████████

Welcome and Apologies

1. The Chair welcomed everyone to the meeting and acknowledged that the start of the meeting was delayed, this was due to a previous meeting over running. The above apologies were noted.

Minutes and Actions from the previous meeting

2. The minutes from the last meeting were agreed as an accurate record of discussion.

3. The Actions were updated as follows:

July/07/01: Circulate a programme risk (business transformation risk in regards to cutover) to CRRG and the CRRG need to consider if it should be escalated for Corporate sight

Update: In light of recent events this has to be revisited. A new action will be raised at a later date. Action **Closed.**

July/07/02: Reword Risk SR 26 to focus on delivery and the impact on operations. **Update:** In light of recent events this has to be revisited. A new action will be raised at a later date. Action **Closed**

July/07/03: Risk owner needs to be confirmed for Information/IT Risk 1

Update: Meeting took place between ████ and ████. **Action Closed**

July/07/05: Risk owner needs to be confirmed for Operational Risk 8

Update: Meeting took place between ████ and ████. **Action Closed**

Corporate Risk Register – Risk Status and Updates

4. The status of each Risk was discussed and updated as follows:

Strategic Risk 28

There was a lengthy discussion around this risk following which the group agreed that additional mitigations were required. As risk owner ██ will update the mitigations to include the following:

All staff events held by Chief Executive;
Accelerated implementation of the forthcoming Leadership & Culture Audit;
Decision making is more timeous and transparent; and
More stringent business acceptance criteria

September/09/01: ████████ will update mitigations prior to next CRRG.

Status and rating remain unchanged

Strategic Risk 26

The group agreed that this risk was no longer appropriate and should be closed. ████████ would draft a new risk for the next CRRG.

September/09/02: ██████ to draft new risk.

Strategic Risk 25

The group recognised the financial pressures DS is currently under. SG officials are being kept fully informed.

Status and rating remain unchanged

Information/IT Risk 1

Our independent security accreditor is working with BT to obtain accreditation for the term of new contract.

Status and rating remain unchanged.

Information/IT Risk 3

█ proposed that given the loss of key resource form BT, the ageing platform and the planned reduction in technical refresh as we come to the end of the BT contract; there is a risk that we may see in an increase in service performance issues. The contract still has service levels for BT to achieve, however there is no longer financial recompense for failure of any of these. This risk should therefore be increased to Amber (major and likely).
The group agreed this.

Residual rating changed to major and likely (revised to amber status).

Strategic Risk 27

The group discussed and agreed that that given the extension to the BT contract this risk was no longer relevant and should be closed.

Operational Risk 8

The discussion centred round who should own this risk, the DPO, the SIRO or the Information Asset Owners. No consensus was reached by the group. There was further discussion around the need for a process to be created and communicated. The Director of Corporate Services agreed to take both of these issues offline and discuss with the DPO.

Status and rating remain unchanged.

ARC Actions

5. The ARC had raised the issue of what happens if DS fails to embed their culture. The group agreed that this should be added to consequences listed in Strategic Risk 28.

SG Risk Guidance

6. It was agreed that given time constraints today, █████ would bring a paper to the next CRRG meeting for discussion.

Escalations

7. There were no escalations.

Risk Horizon Scanning

8. The maintenance and upgrade of the PU CMS was discussed. ███ advise that this system is hosted and supported by Scots. ███ has a meeting with ITEC's tomorrow to discuss the options available around upgrading the system and will report outcome at next CRRG meeting.

AOB

Date/Venue of next Meeting: Thursday 4th October 13:00 – 14:30, Meeting room 1F1a, Pacific Quay

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Action List – July 2018

Action	Details	Responsible	Update	Risk
June/07/01	Move to confirm he has the relevant risks		Updates. Attendances confirmed linked to risk. CLOSED	Operational
July/07/01	Provides a signature in the register to consider if this should be escalated to Corporate level.		In light of recent progress this is to be revisited. A new report will be required at a later date. Active Closed	
July/07/02	Request more SLT to focus on strategic and the implementation priorities.		Revised Risk SR25 linked to strategic and implementation priorities. Updates. In light of report progress this is to be revisited. A new report will be required at a later date. Action Closed	
July/07/03	Risk owner needs to be confirmed for Internal IT Risk.		Meeting today. Date tbc Action Closed	
July/07/04	Risk owner needs of current users to Information Risk?		1007. Working consistent issues CLOSED	
July/07/05	Risk owner needs to be confirmed for Operational Risk?		Missing Risk Risk Review Action Closed	Operational
July/07/06	Performance – Need to look at the mitigations in place to determine the likelihood of occurrence.	Monitoring of PT	Risk discussed. Team meeting on 9th July CLOSED	Performance

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		discuss additional actions required and advise status to CRRG in line with emerging evidence	
September/09/01		Update mitigations prior to next CRRG.	
September/09/02		New risk to be drafted to replace Strategic Risk 26	