

**Information/IT Risk 3 – Extracts from the Corporate Risk Register Minutes**

Risk Status and Updates

Date of Meeting	Information Relating to Information/IT Risk 3
Monday 08 October 2018	<p>Condensed working hours are still having an impact on the stability of the system. The group discussed BT system accreditation past March 2019 and potential risks surrounding this.</p> <p><i>Status and rating remain unchanged</i></p> <p><b>October/08/01:</b> ■■■ to link the BT system accreditation past March 2019 into the risk he is drafting.</p>
Thursday 06 September 2018	<p>■■■ proposed that given the loss of key resource form BT and that the new BT contract will no longer have SLA's, this risk should be increased to Amber (major and likely). The group agreed this.</p> <p><i>Residual rating changed to major and likely (revised to amber status).</i></p>
Thursday 06 September 2018 (Amended Minutes- Updated 08/11/2018)	<p>■■■ 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.</p> <p><i>Residual rating changed to major and likely (revised to amber status).</i></p>
Thursday 05 July 2018	<p>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.</p> <p>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.</p>

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	<p><i>Residual rating changed to major and possible (revised to yellow status).</i></p> <p><b>July/07/04:</b> ■■■ to add the pressures of concurrent users to Information/IT Risk 3.</p>
<p><b>Thursday 07 June 2018</b></p>	<p>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 ■■■ has still to reword this risk, the current wording is no longer valid as the DBS transition has passed.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.</p> <p><b>On-going Action: May/03/02</b> ■■■ to review the wording of Information/IT Risk 3</p> <p><i>Status and rating remain unchanged.</i></p>
<p><b>Thursday 03 May 2018</b></p>	<p>■■■ reported that recently the system had appeared to be more unstable lately however it was more P2 incidents rather than P1's which take longer to resolve therefore are more noticeable. BT are still meeting all their SLA's and KPI's. The group discussed the risk and agreed that the status remains the same however ■■■ should review the wording of the risk.</p> <p><i>Status and rating remain unchanged.</i></p> <p><b>Action May/03/02:</b> ■■■ to review wording of risk</p>
<p><b>Tuesday 10 April 2018</b></p>	<p>■■■ reported that recently the system has been a little temperamental with intermittent P1 incidents. However, overall, there has been no major threat.</p> <p><i>Status and rating remain unchanged.</i></p>
<p><b>Thursday 8<sup>th</sup> March 2018</b></p>	<p>■■■ explained that his paper recommended that we do not continue with the performance work as this work was originally commissioned when high volumes were causing bottle-necks. Following the DBS transition the reduction in volumes has meant that this issue has been alleviated. However, the group were advised that recent P1s have not been related to this issue. The Group agreed that given the uncertainty of the change to the working patterns, the move to a 5 day working week and the number of the concurrent users the risk should remain as is.</p> <p>■■■ will ask BT to run a Performance Load Test (PLT) based on forecasted volumes and users. The test will be condensed to a normal working day to give more accurate results.</p> <p><i>Status and rating remain unchanged.</i></p> <p><i>March/08/02 - ■■■ to arrange PLT with BT.</i></p>

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<p><b>Thursday 8<sup>th</sup> February</b></p>	<p>The group discussed this risk, there have been a few system issues recently which have led to downtime and staff being sent home. The queues are currently low and this can cause issues. BT have raised concerns about the amount of users that will be on the system when we move to core SG hours, this is discussed at the Service Delivery Board. [REDACTED] advised we won't see the benefits of the performance enhancements which are being implemented week beginning 19<sup>th</sup> February until April 2018.</p> <p><i>Status and rating remain unchanged.</i></p>
<p><b>Friday 12<sup>th</sup> January 2018</b></p>	<p>The group discussed this risk, [REDACTED] advised that the first activities for the OCR are now due to commence in January. The system stability has been better over the last few weeks due to the decrease in application volumes and system users. Planning is being put in place to prepare for the increase in system users after nightshift and rotational staff move onto dayshift.</p> <p><i>Status and rating remain unchanged.</i></p>
<p><b>Friday 8<sup>th</sup> December 2017</b></p>	<p>The group discussed the instability of the PVG system, [REDACTED] advised we are still experiencing system issues. [REDACTED] and [REDACTED] have to meet to review existing defects and possible links to recent P1 incidents to improve system stability.</p> <p>The group reviewed the risk and made changes to the Existing Controls/Mitigations column (column G).</p> <p>The group agreed and updated the Existing Controls/Mitigations as below:</p> <ul style="list-style-type: none"> <li>• regular Service Delivery Board sessions at which are to held to account;</li> <li>• the transformation programme exists to get us off the BT platform and address stability and other risks;</li> <li>• SPMB escalates issues to service delivery board; and</li> <li>• there is a review of existing defects and possible links to recent P1 incidents to improve system stability</li> </ul> <p><i>Status and rating remain unchanged.</i></p> <p><b>December/08/02: [REDACTED] and [REDACTED] to arrange a meeting to review existing defects and possible links to recent P1 incidents to improve system stability.</b></p>

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<b>Friday 10<sup>th</sup> November 2017</b>	<p>The group discussed the instability of the PVG system and the impact this has on turnaround times. It was acknowledged that BT had not breached their contract and SLA's were still being maintained.</p> <p><i>Status and rating remain unchanged.</i></p>
<b>Thursday 19<sup>th</sup> October 2017</b>	<p>█-advised of the poor performance of the system over the last 2 weeks which is causing an increase of regular P2's and an impact on MI reporting. Group discussed the affect that concurrent users have on the system.</p> <p><b>Action - October/17/04:</b> █ to arrange for BT to purge any existing concurrent system users.</p> <p><b>Action - October/17/05:</b> █ to circulate email to remind staff to log out of the system.</p> <p><i>Status and rating remain unchanged.</i></p>

Corporate Risk Register Minutes – Escalations

<b>Friday 19<sup>th</sup> September 2017</b>	<p>█ requested a risk regarding system instability on the IT Risk Register be escalated to the Corporate Risk Register which the Chair approved. In the interim, details from the risk on the IT Risk Register have been added to the Corporate Risk Register as a placeholder.</p>
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**Information/IT Risk 3 – Extracts from ARC Highlight Report**

Date of Meeting	Information Relating to Information/IT Risk 3
22 November 2017	<p><b><u>Risks added to Corporate Risk Register since 27<sup>th</sup> July 2017</u></b></p> <p><i><u>Information / IT Risk 3 added September 2017</u></i></p> <p>This risk is to be reviewed and has been placed as a marker on the register.</p> <p>Risk: PVG System Stability</p> <p>Cause: The PVG system performance is on a downward trend and incident volumes (P1/2) are at an all-time high</p> <p>Consequences: Poor system performance is impacting through-put and user morale. This combined with high seasonal volumes and doubts over DBS basic transition adds further uncertainty and resource impact.</p> <p>Impact: Major Likelihood: Likely Rag: Amber</p>
18 July 2018	<p><b><u>Risk Status Changes since 21<sup>st</sup> May 2018</u></b></p> <p><i><u>Information / IT Risk 3 - 5 June 2018</u></i></p> <p>The group discussed this risk and agreed that the wording of the risk should be changed to reflect the Monday to Friday working week. The consequences were updated to highlight the potential strain on system due to the number of concurrent users.</p>

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	<p><u>Information / IT Risk 3 - 5 July 2018</u></p> <p>The group agreed that based on the evidence for the last quarter the residual risk status is decreasing.</p> <p><i>Likelihood reduced to possible and status revised to Yellow</i></p>
<p><b>8<sup>th</sup> November 2018</b></p>	<p><b><u>Risk Status Changes since 18<sup>th</sup> July 2018</u></b></p> <p><u>Information / IT Risk 3 - 6 September 2018</u></p> <p>The group discussed this risk and agreed that given the loss of key resource form BT and that the new BT contract will no longer have SLA's, this risk should be increased to Amber (major and likely).</p>

**Information/IT Risk 3 – Extracts from Board Highlight Report**

Date of Meeting	Information Relating to Information/IT Risk 3
10 October 2017	<p><b><u>Risks escalated to Corporate Risk Register – 15<sup>th</sup> September 2017</u></b></p> <p>A new risk regarding PVG system instability, currently listed on the IT Risk Register was escalated to the Corporate Risk Register by [REDACTED]. This risk was approved for inclusion by [REDACTED] and is now registered under 'Information/IT Risk 3', with an 'Amber' RAG status.</p>
12 September 2018	<p><u>CRRG - 5 June 2018</u></p> <p>The group discussed this risk and agreed that the wording of the risk should be changed to reflect the Monday to Friday working week. The consequences were updated to highlight the potential strain on system due to the number of concurrent users.</p> <p><u>CRRG - 5 July 2018</u></p> <p>The group agreed that based on the evidence for the last quarter the residual risk status is decreasing.</p> <p><i>Likelihood reduced to possible and status revised to Yellow</i></p>
24 October 2018	<p><u>CRRG - 06 September 2018</u></p> <p>[REDACTED] proposed that given the loss of key resource from BT and that the new BT contract will no longer have SLA's, this risk should be increased to Amber (major and likely). The group agreed this.</p> <p><i>Residual rating changed to major and likely (revised to amber status).</i></p>