


Risk Ref.	Area of Risk	Reasons for Risk / Triggers / Causes	Consequences/Impact	Risk Owner(s)	Current controls	Impact	Likelihood	Current Rating (R=I*L)	Mitigation Action(s)	Owner of Action	Target date	Impact	Likelihood	Target / Residual Rating (R=I*L)	Progress towards target (T = Tolerated Risk)
3	Information governance, management and security	Policy, Training and Culture - Lack of up to date policies - Lack of senior officer awareness of best practice and demonstration of such - Paper based information held and used in open plan or easy access offices - Process to react to potential breaches	IT is not supporting or achieving business transformation. Information corruption and loss; Reduced ability to deliver effectively. Piecemeal information systems and information technology. Staff resources not effectively coordinated: lack of capacity and capability to work up and deliver effective IT business solutions. Sensitive information exists and is managed inappropriately; Legal challenge and non-compliance with Government connect standards, disconnection of service and business interruption. Financial penalties; Increased external intervention and scrutiny; Damage to reputation; Loss of public confidence.	Corporate Board	ICT Strategy agreed Information Governance group formed - meet regularly - annual plan being formed Key roles identified e.g. SIRO and Caldicott Guardian - JD's updated and training given where required IS policy redrafted NHS connection standards - self assessment complete - to Level 1 - improvement plan in place Online training available for all staff - Information Security, Data protection and Freedom of Information training mandatory; Bespoke training given to key roles; General records management guidance in high risk areas; Process to react to potential breaches reflects ICO guidance	3	4	High	Strategy being implemented - internal improvements underway including 5 major projects to provide platform from which to progress. Organisation engaged to adapt a standard suite of ICT policies to our requirements - 2 day workshop taken place 18th/19th Feb, policies to be finalised Communicate, roll out and enforce those policies once agreed Implement improvement plan to ensure continued compliance with NHS requirements	Glyn Peach	Review progress 30th June 2015	3	3	Medium	
		Governance of Electronic based Information - Accidental release via email difficult to protect against even with system controls - Use of USB sticks and other removable media not controlled other than by policy - Challenges from the use of personal ICT - Effective management of User Rights			Limited roll out of secure email (Government Secure Intranet) to some staff; Full roll out of secure email to those with a defined need. Use of USB sticks is controlled by policy; Online training available for all staff - Information Security, Data protection and Freedom of Information training mandatory; Register of electronic information assets compiled				Introduce new governance arrangements for Information management Continue to discuss USB stick policy Complete testing of new system for working at home and roll out if appropriate - simpler, better access	Glyn Peach	30th June 2015 On-going 31st March 2015				
		Paper records - Records Management, high risk when paper files are out of the office - Move to more open plan/shared office accommodation - Suitability of Hillmead archive			Paper Records Handling policy and guidance in place for paper records handling but no overall policy; 4 different EDRMS's currently; Significant improvements to Hillmead made with storage now in racked boxes, improvements to security - locks and alarm codes, business rules in place for operation of facility, clarity of what is stored there, disposal timetable in place				Policies to be put in place as part of standard suite (see above) Procurement of an EDRMS is in the ICT implementation plan - scheduled for end of 2015 Oversee implementation of audit recommendations to improve Hillmead provision	Glyn Peach and Information Governance group	31st June 2015 Review 30th June 2015				