Outcome Definitions

Healthy people
- Potential for future good health is improved
- Demand for health and care services is reduced

Resilient communities
- The range of opportunities for leisure, culture and community participation has increased, with low or no funding.
- Local Members are leading their communities
- A clean and attractive environment is maintained
- Vulnerable people are safe and all are enabled to realise their individual goals
- Needs have been met to prevent demand from escalating
- Enabling and supporting people and communities to do more for themselves and each other

Prosperous Economy
- The economy has diversified into higher added value businesses
- Children and young people are encouraged and enabled to achieve their potential
- Jobs for young people have been created
- The skills base is strengthened and meeting current and future business needs
- Main market towns grow as hubs for their rural areas
- Investment into Shropshire has been secured
- Digital and physical infrastructure has developed creating the conditions for success

Operating the Council
- Corporate support and overheads reduce
- The efficiency of the Council has improved
- Commercial operating is increasing across the Council

Risk Scoring Definitions

IMPACT						
5	L	M	H	H	H	
4	L	M	M	H	H	
3	VL	L	M	M	H	
2	VL	VL	L	M	M	
1	VL	VL	VL	L	L	
	1	**2**	**3**	**4**	**5**	
			LIKELIHOOD			

Likelihood	Score	Risk Likelihood Definition
Rare	1	It is unlikely that the event will occur
Possible	2	It is likely that this event will occur but not within the next year
Likely	3	There is a fair chance (50:50) that this event will occur within the next year
Almost Certain	4	The event will almost certainly occur within the next six months
Certain	5	The event has occurred or will almost certainly occur within the next three months

Impact	Score	Risk Impact Definition
Negligible	1	• Day to day operational problems • Budgetary issues that can be resolved within Service
Minor	2	• Manageable disruption to services • Noticeable internal impact, but the Service would remain on course to achieve priorities • Budgetary issues that can be resolved within Service Management Team • Localised reputational damage • Isolated complaints • Minor Injury to employees or those in the Council's care

Significant	3	• Significant loss, delay or interruption to services • Disruption to one critical Council Service for more than 48hrs • Non-delivery of corporate and service plan objectives • Significant stakeholder concern • Attracting short term media attention and potential for litigation/ prosecution from legislative or regulatory bodies • Long term regional damage to reputation • Budgetary issues that can be resolved at Directorate level. • Serious Injury to employees or those in the Council's care • Significant complaints
Major	4	• Widespread medium to long term impact on operational efficiency, performance and reputation. • Major disruption to Council's critical services for more than 48hrs (e.g. major ICT failure) • Breach of legal or contractual obligation attracting medium-term attention of legislative or regulatory bodies. • Adverse coverage in National Press/Front page news locally • Budgetary issues that can only be resolved by Section 151 Officer / Chief Executive / Members • Serious Injury to employees or those in the Council's care
Critical	5	• Potential to threaten the existence of a service/s • Death of employees or those in the Council's care • Inability to function effectively, Council-wide • Service delivery has to be taken over by Central Government • Front page news story in National Press • Serious breach of legal or contractual obligation resulting in National impact with rapid intervention of legislative or regulatory bodies. • Extensive adverse media interest. • Budgetary intervention at national level

A	B	C	D	E	F	G	H	I				J	K
				Residual			Risk Exposure	Risk Category					
Risk Reference No.	Description of Risk	Officer responsible	Current Controls In Place	Likelihood	Impact	Risk Rating (E X F)	High Medium Low Very Low	Healthy People	Resilient Communities	Prosperous Economy	Operating the Council	Additional Controls / Actions Required	Timescale for implementation of additional controls/actions required
2	Lack of resources could result in insufficient capacity within ICT to address all requirements to deliver the ICT DR/BC project, compounded by involvement in and delivery of all fundamental and associated dependent projects (Infrastructure Refresh & Service Desk Management Implementation).	Andrew Boxall	Additional Posts to support the project: 1 of 2: Rob Gallagher contracted to role to October 2017 however has now successfully applied to a permanent post in IT (not DRBC role). 2 of 2: Recruitment efforts unsuccessful Emma Murdock has been assigned to another project (Social Care Technology) therefore availability to project is reduced.	4	3	12	Med				Y	Raise with board / confirm whether Rob Gallagher can remain on the Project until 31 October 2017. Impact of Emma Murdock new project commitments on timescales over coming weeks to be ascertained.	End August 2017
6	Full application failover to the DR site at Nuneaton could be unsuccessful due to only partial testing being undertaken	Emma Murdock	Infrastructure Upgrade Project Completion has resulted in greater capacity at Nuneaton - required memory now present to facilitate failover from Shirehall. Testing to mimic the failover has been successful in a test environment.	3	3	9	Med				Y	Full failover testing required. Other items still to be tested. To be formalised in project plan. Calendar to be completed. June 2017 - Board have agreed that of full testing will be required. This is likely to be at least 6 months planning and preparation.	End December 2017
7	DR Recovery Process could be affected by skills / knowledge shortage - i.e. through staff leaving organisation, unavailability at time of DR event or lack of backup to those with specialist knowledge	Emma Murdock	OneNote DR Document hold step by step details on how to use SRM. Training undertaken on 04.05.17 gives overview of using SRM.	2	3	6	Low				Y	Processes must be kept up to date - Risk to remain on register as it must be considered by BAU once project closed.	Review January 2018
8	Recovery could be slowed, disjointed or fail as we are not fully aware of how systems interface with each other	Emma Murdock	More aware of this as Service Mapping is completed - will be maintained as part of BAU activity. This is manual until CMDB is in place. CMDB showing relationships of systems not currently available, this would assist us in the event of a disaster to show what would be affected - this is awaiting Service Desk Management Software to be set up correctly - Project to facilitate this has restarted. Manual Service mapping ongoing.	3	4	12	Med				Y	Completion of Project for Service Desk Management Software (and therefore CMDB). ADDM Applications are being reviewed - picking up from where colleagues left off Ongoing BAU Service Map Updating	TBC TBC Ongoing BAU
11	Recovery could be slowed as current DR process involves significant manual intervention to recover servers and applications	Emma Murdock	Site Recovery Manager' implemented as part of VMWare Infrastructure Upgrade; this facilitates staff in the DR process who can now log on to the SRM application which starts the recovery and brings services online in a predefined order. All appropriate servers have been covered by SRM, any exclusions are excluded as they cannot failover via SRM (e.g. Lync or Domain Controllers which already have a Nuneaton presence) or they are test servers. This has been successful in a test environment but requires testing on the live environment.	2	2	4	V Low				Y	Carry out testing of failover to Nuneaton using SRM. This requires extensive planning and preparation - ties in to planned failover Testing detailed under Risk 6.	End December 2017
17	Issues with remote accessibility of the corporate network in a full DR scenario if Shirehall is lost. No B / Hot site therefore WAN, Direct Access, VPN, and Airband will stop working. [Staff sites only - Refer to Risk 31 for Schools]	Louise J Powell	Layer 3 Tunnel implemented on the WAN in addition to configuration to support automatic failover to Nuneaton however this has not been tested. The above does not resolve Airband connectivity; Shirehall is single point of access to the WAN for Airband Staff sites the Council has on the WAN (6 Staff Sites)	3	5	15	High				Y	Carry out testing of failover to Nuneaton. This requires extensive planning and preparation - ties in to planned failover Testing detailed under Risk 6. Staff Airband Sites Ascertain DR plans for the sites impacted and what their BC arrangements should involve (decamp etc.)	End December 2017
19	Recovery documentation inaccessible by other bodies (not including I&S) when it is required.	Emma Murdock	Current documentation is accessible by I&S only	1	5	5	Low				Y	One-Note access permissioned can give selected other users access as required. Requires Risk 20 to be implemented.	End August 2017 [Dependant on Risk 20]
20	In an event which impacts the availability of ICT Staff there is a risk that Protocol, Device & Login information for another party to access the system is unavailable	Emma Murdock		1	5	5	Low				Y	The plans should include mechanism to release procedural information to a non IT 3rd party in the event of a scenario where IT staff were impacted / unavailable. Review underway with Infrastructure & Security Officer. Virtual Machine to be set up in Nuneaton and kept updated.	End August 2017
21	Risk of data becoming outdated where staff having to double enter data in the documentation and elsewhere as information changes. e.g. post holder changes and their contact information	Emma Murdock	SACM Policy has been drafted to control changes to pertinent documentation - this Policy will cover the DRBC Document. Process in place to manage changes for areas such as Contact Information which is not maintained by ICT.	2	2	4	V Low				Y	Continue current controls to manage risk.	Review January 2018

A	B	C	D	E	F	G	H	I				J	K
				Residual			Risk Exposure High Medium Low Very Low	Risk Category					
Risk Reference No.	Description of Risk	Officer responsible	Current Controls In Place	Likelihood	Impact	Risk Rating (E X F)		Healthy People	Resilient Communities	Prosperous	Economy Operating the Council	Additional Controls / Actions Required	Timescale for implementation of additional controls/actions required
25	ICT Staff unaware of new procedure once implemented or new ICT staff not aware of procedure when put in post.	Emma Murdock	Awareness sessions have been run with the Staff advising the works currently being completed by ICT.

It will be the responsibility of the relevant line managers to | 2 | 2 | 4 | V Low | | | | Y | Review requirements for further Awareness Sessions / Testing relevant staff

Incorporate existence of DR Document & Team SRPs in to | October 2017 [Subject to controls from Risk 2 being agreed] |
| 27 | In a DR event agreed policies and procedures may be prohibitive to full recovery. Delay in recovery due to discussion over what policies it would be acceptable to breach if needed. | Emma Murdock | None. | 3 | 4 | 12 | Med | | | | Y | Authority to bypass certain restrictions in a DR event need to be considered (e.g. in a critical situation would we bypass the restriction which stops users from using their own devices?) Agreed policy exemptions need to be approved and formally documented. Any agreed exemption clauses should be written in to the policies themselves rather than the DRBC documentation. Review with Information Governance and Audit Services required. It is expected this will be carried out towards the end of the project when there is a better understanding of recovery requirements. | End December 2018 |
| 28 | Failure to have an OOH support rota for critical ICT Staff in the event of business interruption could result in a delay in commencing recovery process. IT do not have an OOH support rota, there is no contractual obligation on staff to be available to support an issue which occurs OOH. | Andrew Boxall | First Line (Helpdesk) available weekdays 0800-1800 , 2 Members of Third Line (Back Office) available weekdays from 0800-1700

There is daily cover by third line over Christmas Break on a volunteer basis with a day off in lieu but no cover out of office hours, on weekends or other bank holidays.
Any event which occurs out of office hours would be dealt with 'best endeavours' from the staff willing or available to assist - this has been brought to the Project Board's | 4 | 5 | 20 | High | | | | Y | Management approach to determine whether
- the DR approach needs to include that OOH is best endeavours - acceptance by management that this is tolerable.
- OR change to staff contracts to include official OOH support reduce the risk exposure | TBC by responsible officer |

A	B	C	D	E	F	G	H	Risk Category				J	K
				Residual			Risk Exposure High Medium Low Very Low						
Risk No.	Description of Risk	Officer responsible	Current Controls In Place	Likelihood	Impact	Risk Rating (E X F)		Healthy People	Resilient Communities	Prosperous Economy	Operating the Council	Additional Controls / Actions Required	Timescale for implementation of additional controls/actions required
24	Named key holders at DR Site at Nuneaton becoming outdated - staff retaining access after leaving or role change, or required staff not having access.	Louise J Powell	ICT conduct regular reviews of key holders with Warwickshire County Council as part of Service Reviews. There is a contractors pass on site at Nuneaton reception permanently (available when reception is open). Key holders have 24x7 access and are unlikely to all become unavailable at once.	1	1	1	V Low				Y	Risk Closed 10/01/2017	
26	ICT Staff do not have relevant kit required in DR event.	Karen Davis	Policy and procedures are in place that staff should take laptops home with them in an evening, and remove during building alarm (where safe to do so).	3	4	12	Med				Y	Risk Closed 10/01/2017	