

Corporate Risk Control Register												
Risk Category	Activity	Top Risk(s)	Initial Likelihood	Initial Severity	Initial Risk Rating	Prevention Controls - reducing likelihood	Mitigation Controls - reducing severity	Final Likelihood	Final Severity	Final Risk Rating	Responsibility?	Last / next review
1	Cyber attack	<ul style="list-style-type: none"> <li>Virus, ransom-ware or other malware attack or software vulnerability.</li> <li>Malicious software can damage IT system, steal or encrypt data or prevent normal service by sheer volume of extra traffic.</li> <li>Problem could spread to many servers, computers and/or other devices and take days to clear.</li> <li>Denial of Service Attacks could affect internal or external systems.</li> <li>Reputational damage can result from cyber attack.</li> </ul>	4	5	20	<ul style="list-style-type: none"> <li>Anti-virus &amp; anti-malware software is used on all servers &amp; computers. These are updated automatically in real-time.</li> <li>Software updates &amp; security patches are applied automatically from O365 tenant ring group.</li> <li>Firewalls control unauthorised entry from Internet. Web filtering software prevents users from accessing unsafe websites. Email filtering blocks most unsafe emails.</li> <li>Staff are educated to avoid risks from phishing attacks. Simulated attacks are used to ensure that staff comply. Mandatory training now includes cyber security for all staff.</li> <li>Enforced use of strong passwords and MFA.</li> <li>Core systems are in cloud or being moved to cloud to increase security</li> </ul>	<ul style="list-style-type: none"> <li>Multiple backups of data are maintained on a daily/monthly basis.</li> <li>Wasabi &amp; Datto cloud backup solution of data are maintained on a daily/monthly basis.</li> <li>Backups are both on-line and off-line to maximise opportunity for data recovery.</li> <li>Data has now been migrated to Microsoft and other hosted platforms.</li> <li>Cyber Insurance acquired to provide cover for additional work in recovery and restoration</li> <li>Review of data holding and processing underway to minimise potential data losses</li> </ul>	3	4	12	Exec	July 25 / Oct 25
2	Key staff capacity	<ul style="list-style-type: none"> <li>Progress in critical projects is hindered</li> <li>Staff burnout leads to staff losses</li> <li>Work/life balance and job satisfaction impaired</li> <li>Negative impact on service delivery</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Reduce some activities, meetings, reporting in order to release time pressure</li> <li>Set realistic expectations and plan to resource needs and respond accordingly to avoid a crash</li> <li>Provide flexibility in working arrangements to enable space to recharge where possible</li> </ul>	<ul style="list-style-type: none"> <li>Look to reduce scale of operation over time in order to operate within the bounds of possibility</li> <li>Succession Planning</li> <li>Seek to ensure critical knowledge is shared and documented</li> <li>Consider alternative source of expertise</li> </ul>	3	4	12	Exec	July 25 / Oct 25
3	Inability to recruit sufficient volunteers to support income generation	<ul style="list-style-type: none"> <li>Retail operation is restricted</li> <li>Lottery plans curtailed</li> <li>Fundraising plans curtailed</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Volunteer management being brought together under People Services</li> <li>Marketing budget assigned to volunteer recruitment - continue to campaign for recruits</li> <li>Applicant tracking system in progress</li> </ul>	<ul style="list-style-type: none"> <li>Create a backup volunteer force who have ability to step in</li> </ul>	3	3	9	Exec	July 25 / Oct 25
4	Inability to locate suitable new retail venues	<ul style="list-style-type: none"> <li>Future financial targets not met</li> <li>Core costs not spread widely enough</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Qualified volunteer working on project with Director</li> <li>Continue to scan for ideal sites and/or pop-up shops</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that current outlets are as efficient and cost effective as possible</li> <li>Maximise ad hoc and other opportunities to generate income (including lottery sales)</li> </ul>	3	3	9	Exec	July 25 / Oct 25
5	Materially reduced legacy income	<ul style="list-style-type: none"> <li>Financial Losses continue and cash drains</li> <li>Long Term sustainability reduced</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Legacy &amp; In Mem plan being implemented</li> <li>Part of Hospice UK national advertising campaign</li> <li>Regular promotion and publications of Legacies</li> </ul>	<ul style="list-style-type: none"> <li>Maintain sufficient cash resource to manage volatility of legacy drought - mitigation funding agreed in principle</li> </ul>	3	3	9	Exec	July 25 / Oct 25
6	Income Generation does not increase along planned growth trajectory	<ul style="list-style-type: none"> <li>Long term financial sustainability at risk</li> <li>Financial Losses continue and cash drains</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>Fundraising strategy in place - strong fundraising, supporter-care and comms teams in place with FR focus</li> <li>Nurture and relationship with lottery players upgraded, in-house lottery team being recruited, multi-team approach</li> <li>Retail focus on cost control, pricing and Gift Aid + looking for suitable sites</li> </ul>	<ul style="list-style-type: none"> <li>Cash Balance in place to support plan implementation over next 18 months</li> <li>Additional mitigation funding potentially available to ensure ability to manage volatility</li> </ul>	3	4	12	Exec	July 25 / Oct 25
7	Loss of Key Personnel	<ul style="list-style-type: none"> <li>Some systems may be understood by only one person, who could leave etc. Some systems could then be difficult to maintain, with extended downtime, or projects could be delayed.</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>Seek to provide internal back-up and succession to help spread the critical systems knowledge</li> <li>Aim to provide suitable remuneration and conditions of service in order to retain</li> </ul>	<ul style="list-style-type: none"> <li>Create effective handover documentation that could be followed by others</li> </ul>	3	4	12	Exec	July 25 / Oct 25
8	IT systems failure / Cloud Access Down	<ul style="list-style-type: none"> <li>Switch / Router failure or configuration corruption / deletion</li> <li>Firewall failure or configuration corruption / deletion</li> <li>Major hardware failure can be caused by a range of events, both accidental and malicious. Depending on which hardware fails, vital services could be disrupted or communications lost.</li> <li>Inability to access contemporaneous clinical records or run business continuity reports</li> </ul>	3	5	15	<ul style="list-style-type: none"> <li>Firmware and software updated regularly.</li> <li>For Servers and NAS, dual components provide redundancy for single item failures.</li> <li>Global spare SAN disks enable automatic replacement of a failed drive.</li> <li>Firmware and software updated regularly.</li> <li>Use of strong passwords.</li> <li>Access limited to essential personnel.</li> <li>IT System Management Controls</li> </ul>	<ul style="list-style-type: none"> <li>Spanning tree protects against single device failure by rerouting connections.</li> <li>High availability firewalls allow one firewall to take over if another fails.</li> <li>Spare switch ready configured for replacement</li> <li>Backup copies of all configs kept securely.</li> <li>Warranty support contracts provide rapid response to replace failed parts.</li> <li>Regular backups of virtual servers enable rapid recovery in event of failure.</li> <li>Cloud firewalls are updated automatically and can failover to a second Zen internet connection if needed.</li> <li>Contactable team OOH (not formal contract)</li> <li>Back up resource -outsourced at times of AL</li> <li>Daily back up to PAS system facilitating access to the PAS</li> <li>Hard copy daily print outs to provide basic continuity</li> </ul>	2	4	8	Exec	July 25 / Oct 25
9	SRH is subject to reputational damage arising from matters relating to cultural and legislative environment, finance cost reductions and medical practice	<ul style="list-style-type: none"> <li>Supporters are dissuaded from donating, volunteering etc</li> <li>Staff disengagement</li> <li>Sector colleagues change behaviour towards us</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li>PR approach to managing relevant matters is prepared</li> <li>Continued collaborative work with external sector bodies</li> <li>Open reporting and learning culture in clinical environment to ensure improvement is continuous and care qualities are maintained</li> </ul>	<ul style="list-style-type: none"> <li>Positive and explanatory aspects of any news is prepared</li> <li>2-way dialogue with staff</li> </ul>	3	3	9	Exec	July 25 / Oct 25
10	Reduced clinical workforce	<ul style="list-style-type: none"> <li>Reduced responsiveness</li> <li>Lower staff morale</li> <li>Reduced staff retention</li> <li>Reputational damage</li> <li>Reduced referrals</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li>Consultants GTR and NC to provide telephone support/ emergency on site visits for ad hoc days on a short term basis</li> <li>Could approach colleagues in Princess Alice Hospice, St Helier and Epsom Hospital for emergency cover</li> <li>Review of operational guidelines</li> </ul>	<ul style="list-style-type: none"> <li>Seek additional hours from within the team</li> <li>Use Agency and Bank workers</li> </ul>	3	3	9	CD/ NC	July 25 / Oct 25

The axis for Likelihood should be from 1. Very Low – 2. Low – 3. Medium – 4. High – 5. Very High  
The axis for Severity should be from 1. Light – 2. Serious – 3. Major – 4. Catastrophic – 5. Multi Catastrophic

Schlumberger Private

Over 13 = red
8-13 = amber
7 or under = green