

Horizon Scanning Process

PHX079

Contents

Purpose of This Process	2
Intended Audience	2
Knowledge Sources	2
Legal Horizon Scanning	3
Implementing Change	3
Roles and Responsibilities	4
Version Control	5
Document Approval	5

Purpose of This Process

The purpose of Horizon Scanning is to identify and analyse emerging trends, developments, and potential changes in the external environment that may impact Phoenix's legal obligations or its adherence to ISO standards. By proactively monitoring and assessing these factors, Phoenix can stay ahead of the curve and take appropriate actions to ensure compliance and continuous improvement.

Phoenix maintains a legal register, which is a record of applicable legal requirements and obligations. Horizon scanning helps Phoenix keep track of new legislation, regulations, court decisions, and other legal developments that may affect business operations. By regularly scanning the horizon for such changes, Phoenix can update its legal register and if required, adapt practices, reducing the risk of non-compliance.

Horizon scanning also involves monitoring industry trends, technological advancements, market changes, and other external factors that may impact the relevance or effectiveness of the ISO standards being followed. By identifying emerging issues or potential gaps, Phoenix can proactively revise processes, policies, and systems to ensure they remain aligned with the latest ISO requirements and best practices.

Intended Audience

This document is intended for the Governance Team and the ISO committee groups, who support the process.

Knowledge Sources

To obtain relevant and useful insights into developments in applicable legal areas, including Data Protection & Cyber Security the Governance Team shall access knowledge feeds from various sources. Whilst not exhaustive, the below sources have been identified by the ISO committees as knowledge sources to be used as part of the Horizon Scan:

Regulatory Sources:

- Information Commissioner's Office (<https://ico.org.uk/>)
- UK Government Legislation website ([Legislation.gov.uk](https://www.legislation.gov.uk/))
- Guidance on health and safety at work (HSE) (<https://www.hse.gov.uk/guidance/index.htm>)
- LexisNexis ([Legal Research](#))

Professional Bodies:

- Information & Records Management Society (IRMS) (<https://irms.org.uk/default.aspx>)
- National Association of Data Protection Officers (NADPO) (<https://nadpo.co.uk/>)
- International Association of Privacy Professionals (IAPP) (<https://iapp.org/>)
- Health and Safety Executive (<https://www.hse.gov.uk/>)

Other sources:

- Cyber threat intelligence monitoring is completed by the SOC team using various toolsets
- Met Office weather warning notifications (<https://www.metoffice.gov.uk/>)
- Highways England (<https://www.gov.uk/government/organisations/highways-england>)
- Intellectual Property Office (<https://www.gov.uk/government/organisations/intellectual-property-office>)
- Public Health England (<https://www.gov.uk/government/organisations/public-health-england>)
- Office for Product Safety & Standards (<https://www.gov.uk/government/organisations/office-for-product-safety-and-standards>)

Legal Horizon Scanning

Legislation updates will be reviewed and assessed regularly by the Governance Team and where applicable, the register used to capture any summary of changes, how it applies to the business and to identify an owner of the business area impacted. A risk assessment shall be conducted if required.

Example areas of interest:

- ICO enforcement action
- ICO guidance and new frameworks
- UK Government Data Protection Law Changes
- News about Cyber Security hacks
- Latest Cyber Security trends and news from NCSC
- Employment Law
- Environmental Law

Implementing Change

The ISO committees will review each of the items raised by the Governance Team for low-risk matters and agree actions for the medium to high-risk issues.

Where a 'high risk' to Phoenix is identified, the relevant ISO committee shall escalate this risk to the appropriate body in accordance with its terms of reference and Phoenix's risk management policies and procedures.

All items recorded in the horizon scanning report are to be tracked and actions monitored until the matter is no longer a concern to Phoenix or the relevant committee agrees it can be closed.

Roles and Responsibilities

Phoenix has created a RACI matrix to illustrate the roles and responsibilities associated with the Horizon Scanning process. Governance Team is responsible for ensuring that changes and developments in legislation are captured and actioned upon in a timely manner.

Task	Governance Team	Operations Director	ISO committees	All Staff
Horizon Scanning	R	A		
Risk Assessment	R		C	
Legal Register Review and Update	R	A		
Planning Change		C	R	
Communicating Change		A	R	
Implementing Change		A	R	I

Version Control

<u>Author</u>	<u>Version</u>	<u>Date</u>	<u>Description</u>
Governance Team	1.0	20/07/2021	Original Document
Governance Team	2.0	11/07/2022	Revisions from policy review
Geoff McGann	2.1	01/06/2023	Updated to include RACI

Document Approval

<u>Name</u>	<u>Version</u>	<u>Date</u>	<u>Position</u>
Clare Metcalfe	1.0	20/07/2021	Operations Director
Clare Metcalfe	2.0	30/09/2022	Operations Director
Clare Metcalfe	2.1	12/06/2023	Operations Director

Signed: *Clare Metcalfe* Clare Metcalfe, Operations Director

Dated: 12/06/2023