

Risk No.	Risk	Risk Owner	Existing Controls	Current Risk				Planned Action	Target Risk		
				Likelihood	Impact	Rating	Direction		Likelihood	Impact	Rating
CHB12	<p><b><u>Oracle ERP</u></b></p> <p>Failure to deliver required efficiencies and future revenue savings as part of the major project to upgrade CBIS to Oracle R12 and the implementation of an Enterprise Resource Planning (ERP) system, consolidating other key systems and processes as appropriate.</p> <p><b>Expected to Change: Following achievement of key milestones (Autumn 2014)</b></p>	Peter Kane	Project governance operating (Steering Group and Project Board), project underway with experienced implementation partner. Iteration 1 signed of, preparation for iteration 2 underway. <b>Control Owner:</b> Milan Gudka	Likely	Major	<b>R</b>	↔	Continued application of project governance. Rigorous stakeholder engagement. Ownership of all changes by the key business representatives on the project. Further work with implementation partner to design and build ERP system which is Fit for Purpose for the Corporation but also adheres to as best practice as possible. Regular workshops taking place for duration of project to ensure that change impact is understood and to ensure operational processes align with system development.	Unlikely	Major	<b>A</b>
CHB19	<p><b><u>VOA Amendments</u></b></p> <p>Business Rates; legislative changes, Valuation Office Amendments leading to increased number of appeals and potential City Corporation liability for bad debt resulting from any incorrect refunds that may be processed.</p> <p><b>Expected to Change: n/a on-going risk</b></p>	Carla-Maria Heath	Monitoring outcomes of valuation test cases. Plan in place to manage peaks in workload. <b>Control Owner:</b> Carla-Maria Heath	Possible	Serious	<b>A</b>	↔	Continued monitoring.	Possible	Serious	<b>A</b>

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CHB23	<p><b><u>AP Invoice Backlog</u></b></p> <p>Inability to deliver a “business as usual” service because of the backlog of accounts payable invoices for processing, resulting in poor performance in the timely and accurate payment of invoices and leading to reputational damage (externally with suppliers and internally with departments) and financial loss to the City Corporation.</p> <p><b>Expected to Change: 30th September 2014</b></p>	Head of City Procurement	<p>Proactive performance management in place. Increased quality review and use of peer to peer review</p> <p>Weekend working offered to high performing team members</p> <p><b>Control Owner:</b> Head of City Procurement</p>	Possible	Major	A	↔	<p>Continuation of existing control.</p> <p>Increased engagement with departments and suppliers to improve end to end process compliance</p> <p>New Department Report designed and shared with FLG. First circular now out with service users to target non-compliance and non-receipting primarily.</p> <p>Reorganisation of City Procurement in progress, due to be completed September 2014</p>	Rare	Serious	G
CHB24	<p><b><u>PP2P Programme Closure</u></b></p> <p>Closure of partnership with Accenture results in alteration of the current programme of City Procurement activity, leading to further disruption to business as usual.</p> <p><b>Expected to Change: 30th September 2014</b></p>	Peter Kane/ Suzanne Jones	<p>Closure plan in place. Milestones in place for City and Accenture teams.</p> <p>All closure activities complete and signed off. Ongoing vacancies led to Knowledge Transfer packs being designed by Accenture for use as part of new hire inductions. <b>Control Owner:</b> Chris Bell</p>	Possible	Major	A	↔	<p>Regular programme monitoring, engagement with departments. Recruitment to key posts. Update reports to be provided to Committee.</p>	Unlikely	Serious	G

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CHB25	<p><b>Revenues In-sourcing</b></p> <p>Disruption to business as usual billing and income collection service as a result of the “in-sourcing” of the Revenues contract (currently with Liberata).</p> <p><b>Expected to Change: 30th September 2014 (Risk will cease)</b></p>	Suzanne Jones	<p>Monthly service review in place. Blackout/change freeze in place for system migration. <b>Control Owner:</b> Carla-Maria Heath</p>	Possible	Serious	A	↔	<p>Regular progress review and update reports.</p>	Possible	Serious	A
CHB26	<p><b>PSN Compliance</b></p> <p>Increased cost of maintaining connection to the Public Service Network (PSN) or possible disconnection in the event of non-compliance, arising as a result of increasingly demanding requirements.</p> <p><b>Expected to Change: 30th November 2014 (Risk expires)</b></p>	Chris Anderson	<p>Separate network enclave created, allowing access to the PSN other than via the Corporate network. <b>Control Owner:</b> Chris Anderson</p>	Unlikely	Major	A	↔	<p>June compliance submission to Cabinet Office failed.</p> <p>Reviewing requirements from this in order to make the entire City Corporation Network PCN Compliant in 2014.</p>	Rare	Major	G

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CHB27	<p><b><u>Remote Access</u></b></p> <p>Remote Access - Citrix Access Gateway 4.6.3 is no longer under support from Citrix. No security or other fixes are available. No support for IE 9 onwards. There is a single point of failure at DR should this server fail.</p> <p><b>Expected to Change: November 2014</b></p>	Graham Bell	Juniper MAG VPN solution implemented. <b>Control Owner:</b> Graeme Quarrington-Page	Possible	Serious	A	↔	Further exploration of a fuller technical solution option/s that fully mitigate the risk in addition to the rollout out of Juniper MAG solution to remote workers.	Possible	Minor	G
CHB28	<p><b><u>IS Service Outage</u></b></p> <p>Disruption to service delivery as a result of major information systems outage (e.g. network/technology infrastructure failure)</p> <p><b>Expected to Change: November 2014 project to complete</b></p>	Graham Bell	<p>Decision to migrate keys systems and servers off site in order to improve business resilience and ensure similar disruption in future is a negligible risk forms part of the technical roadmap.</p> <p>Migration of critical systems as part of the IaaS project now underway. Project phased to minimise customer disruption and ensure thorough testing of systems between now and November.</p>	Rare	Serious	G	↓	Project in progress to migrate to Infrastructure as a Service. This will improve service resilience and remove many single points of failure and provide disaster recovery .	Rare	Minor	G

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CR14	<p><b><u>Funding Reduction</u></b></p> <p>Likely reductions in future spending rounds will reduce grant income for the City Corporation resulting in the Corporation being unable to maintain a balanced budget and maintain healthy reserves in City Fund significantly impacting on service delivery levels.</p> <p><b>Expected to Change: 31st March 2015</b></p>	Peter Kane	<p>Service based review in progress.</p> <p>Review of operational assets in progress</p> <p>Robust financial planning.</p> <p>Scrutiny by the Efficiency Board and Efficiency and Performance Sub-Committee. <b>Control Owner:</b> Caroline Al-Beyerty</p>	Likely	Major	<b>R</b>	↔	<p>submission of package of saving proposals for consideration by Resource Allocation Sub Committee Development and implementation of savings programme by 2016/17</p>	Likely	Major	<b>R</b>
CR16	<p><b><u>Information Security</u></b></p> <p>Loss or mishandling of personal or commercial information could result in harm to individuals, a breach of legislation such as the Data Protection Act 1988 which incurs a monetary penalty of up to £500,000. Breaches can also incur compliance enforcement action, corruption of data and significant reputational damage.</p> <p><b>Expected to Change:</b> TBC (risk will remain, but net risk expected to reduce)</p>	Peter Kane	<p>Central monitoring &amp; guidance with nominated senior officer responsibility and Access to Information Network (departmental reps)</p> <p>Mandatory training for all staff plus programme of briefings</p> <p>Awareness emails sent biannually to all staff</p> <p>Appointment of a Technical Solutions Officer (IS Division)</p> <p><b>Control Owner:</b> Graham Bell</p>	Possible	Serious	<b>A</b>	↔	<p>Review and refresh existing policy around cybersecurity and technology infrastructure risk in partnership with Agilisys. Actively promote Data Security training and Protecting Information training for staff in Autumn-Winter 2014.</p>	Unlikely	Serious	<b>G</b>

# Risk Heat Map

