# Chamberlain's Department Risk Register

| Risk No. | Risk | Risk Owner | Existing Controls | Current Risk | | | | Planned Action | Target Risk | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Likelihood | Impact | Rating | Direction | | Likelihood | Impact | Rating |
| CHB29 | **Police IS Service Provision**<br><br>Critical failure of the Police IS Service, leading to loss of communications or operational effectiveness.<br><br>A | Graham Bell | Staff are available out of hours to cover any issues.  There are DR capabilities which mean any critical failures can be recovered from, although as a result of limitations they may take some time to recover adequately, failing to meet the recovery time objectives of the service.<br><br>**Control Owner**: Graham Bell | Likely | Major | R | ↔ | The Police IS estate has seen underinvestment over the past few years. There are a number of projects in place to address this:<br>1. The Agilisys managed services contract will bring additional resource and a resilient data centre solution to the Police IS estate.<br>2. Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.<br>3. Investment in any retained IS infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure. | Possible | Serious | A |

Note: ↑ / ↓ / ↔: Direction relates to change in assessment since last review (Increased level of risk/reduced level of risk/no change)

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| CHB31 | **ORACLE ERP (DELIVERY)** There is a risk that the programme will not deliver to planned timetable | Peter Kane | Linked to Programme Risk R0.28 A revised implementation plan was approved by The Oracle ERP Steering Group in August 2014 with a go live date of the end of February 2015. Key programme personnel have been replaced with an experienced Oracle delivery team. Even though the Programme is in a much better position than it was 6 months ago (when the programme status was elevated to Red in June 2014) and a significant progress has been made, the Programme Board recommended it remains in a controlled red status. This status will be re-assessed at UAT Exit, Activities against the programme plan continue and collaboration between PWC, Agilisys and CoL is continuing at a reasonable pace. **Control Owner:** Carl Collins-McCarthy | Likely | Major | R | ↓ | The Programme will continue to have the applied governance and management in place through and post go-live until May 2015. | Unlikely | Major | A |

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| CR14 | **Funding Reduction**<br><br>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.<br><br>**Expected to Change: 5th March 2015, following Court of Common Council approval of 2015/16 budgets** | Peter Kane | SBR implementation in progress- savings proposals identified that restore the budget to a balanced position across the medium term.<br>Robust financial planning. Robust monitoring of delivery of savings proposals - undertaken by Head of Finance, Projects. Scrutiny by the Efficiency Board and Efficiency and Performance Sub-Committee. **Control Owner**: Caroline Al-Beyerty | Likely | Major | **R** | ↔ | Scrutiny of the achievement of savings by the Efficiency Board and Efficiency and Performance Sub-Committee.<br>SBR implementation continues with cross departmental workstreams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality. | Likely | Major | **R** |

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| CHB12 | **Oracle ERP - Business Benefits**<br><br>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.<br><br>**Expected to Change: Following stabalisation post go-live** | Peter Kane | Project governance operating (Steering Group and Project Board), project underway with experienced implementation partner. Future system road map in development **Control Owner:** Matt Lock | Possible | Major | A | ↓ | Continued application of project governance. Rigorous stakeholder engagement. Ownership of all changes by the key business representatives on the project. Further discussion to take place regarding business as usual support model and mechanism for measuring progress in delivering proposed/desired efficiencies. | Unlikely | Serious | G |

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| | | | | Likelihood | Impact | Rating | Direction | | Likelihood | Impact | Rating |
| CR16 | **Information Security**<br><br>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.<br><br>**Expected to Change**: TBC (risk will remain, but net risk expected to reduce) | Graham Bell | Central monitoring & guidance with nominated senior officer responsibility and Access to Information Network (departmental reps)<br>Mandatory training for all staff plus programme of briefings<br>Awareness emails sent biannually to all staff<br>Appointment of a Technical Solutions Officer (IS Division)<br>**Control Owner:** Graham Bell | Possible | Serious | A | ↔ | Review and refresh existing policy around cybersecurity and technology infrastructure risk in partnership with Agilisys. Actively promote Data Security training and Protecting Information training plan to be developed and deployed. | Unlikely | Serious | G |

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| CHB26 | **PSN Compliance**<br><br>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.<br><br>**Expected to Change: February 2015** | Graham Bell | Separate network enclave created, allowing access to the PSN other than via the Corporate network. Control Owner: Graham Bell | Unlikely | Major | A | ↔ | Engagement with PSN Acreditor, The ITHC commenced assessment in January, with the report to be published February. Once the report is received, an action plan will be developed and timescales for resubmission to the PSN Accreditor will be determined. | Rare | Major | G |
| CHB28 | **IS Service Outage**<br><br>Disruption to service delivery as a result of major information systems outage (e.g. network/technology infrastructure failure)<br><br>**Expected to Change:** February 2015 project to complete | Graham Bell | Decision to migrate key 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. Migration of critical systems as part of the IaaS project now underway. Project phased to minimise customer disruption and ensure thorough testing of systems. **Control Owner**: Graham Bell | Rare | Serious | G | ↔ | Final elements now migrating to Infrastructure as a Service. This will complete by mid February. | Rare | Minor | G |

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# Risk Heat Map

**Impact**

|  | Minor | Serious | Major | Extreme |
|---|---|---|---|---|
| **Likely** | | | CR 14 / CHB 31 / CHB 29 | |
| **PSN Compliance** / Increased cost of maintaining | | CR 16 | CHB 12 | |
| **IS Service Outage** / Disruption to service delivery as a | | | CHB 26 | |
| **Police IS Service Provision** / Critical failure of the Police | | CHB 28 | | |

**ORACLE ERP (DELIVERY)**

**Likelihood**

### Risks

**CHB12**: Oracle ERP - Benefits Realisation

**CHB26**: PSN Compliance

**CHB28**: IS Service Outage

**CHB29**: Police IS Service Provision

**CHB31**: Oracle ERP - Programme Delivery

**CR14**: Funding Reductions

**CR16**: Information Security

| **Key** | **Red / High Risk** | **Amber / Medium Risk** | **Green / Low Risk** |
|---|---|---|---|