

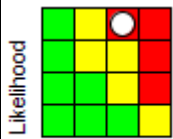
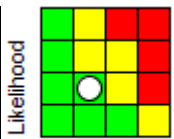
CHB Detailed risk register

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Generated on: 30 October 2015

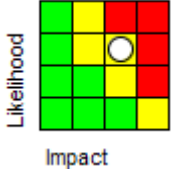
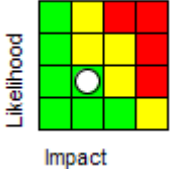


Rows are sorted by Risk Score

Code & Title: CHB Chamberlain's Department Risk Register 6 CR Corporate Risk Register 3

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CR19 IT Service Provision	<p>Cause: The whole Police IT Estate and parts of the Corporation are in need of further investment.</p> <p>Event: For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service.</p> <p>Effect: Loss of communications or operational effectiveness (including service performance, reliability and weakening DR capabilities). reputational damage. Possible failure of critical Corporation and Policing activities.</p>	Graham Bell	 <p>16</p>	The risk is expected to reduce as Infrastructure changes are implemented however the resilience of the system is now much improved following the completion of mitigating actions such as replacement of network switches to improve response times and live backup of data enabling a quick restore of the system should there be a failure.	 <p>4</p>	31-Dec-2015	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR19b JOINT Network refresh programme.	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	Graham Bell	31-Dec-2016	A Gateway 4/5 report will be presented for approval in December 2015.
CR19c JOINT End User Device Renewal	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Graham Bell	31-Dec-2016	A Gateway 4/5 report will be presented for approval in December 2015.
CR19d CoLP Investment in any retained IT infrastructure	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure	Graham Bell	31-Dec-2015	Report to Gateway Projects Sub-Committee in October, 4/5 report for approval in December 2015.
CR19k Unified Communications Programme	Replacement of desktop phones with soft phones and improved teleconferencing facilities.	Graham Bell	31-Dec-2015	Gateway 2 report for approval in December 2015.

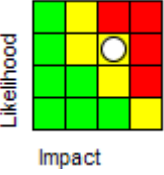
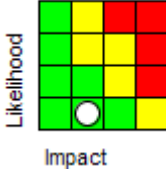
Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CHB002 Oracle ERP Business Benefits	<p>Cause: Plan not in place/not validated by the business users. Inadequate governance arrangements in place.</p> <p>Event: 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>Expected to Change: Following stabilisation post go-live.</p> <p>Effect: Efficiencies not delivered. System developments not controlled, resulting in proliferation of customisation or developments that deviate from core strategy.</p>	Peter Kane	 12	Business benefits realisation work cannot commence until CHB001 closes, the earliest that this could start is 1 October 2015, although consideration must be given to the impact of sustained change on those colleagues involved in development activity and continuation of the delivery of phase 1b activity. Commencement of benefits realisation work is likely to be deferred further.	 4	31-Dec-2015	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB 002a Introduction of governance framework.	Introduction of governance framework.	Matt Lock	01-Oct-2015	Framework drafted

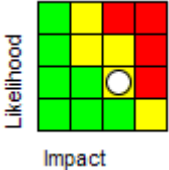
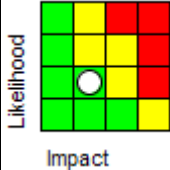
CHB 002b Rigorous stakeholder engagement.	Rigorous stakeholder engagement.	Matt Lock	01-Oct-2015	This is an ongoing task.
CHB 002f Future system road map.	Future system road map in development.	Matt Lock	01-Oct-2015	Strategic roadmap in place, requires cross referencing with IT Strategic Roadmap. Operational roadmaps for all modules to be in place to support the strategic roadmap.

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CHB008 Resourcing	<p>Cause: The department has a number of highly specialist roles for which there is a higher demand, in both the public and private sector, than those with the necessary skills.</p> <p>Event: Difficult to recruit and retain specialist staff in IT and other areas such as Procurement as availability is dictated by the demands of the market.</p> <p>Effect: Recruitment and retention of these staff can take longer and causes gaps in capacity. Capability gaps impact on service delivery and ability to improve future performance.</p>	Peter Kane	 12	Better position following successful recruitment of Head of IT and Police Lead, although there is one key post still outstanding. Work has begun on a medium term plan for the whole Department.	 4	31-Mar-2016	↔

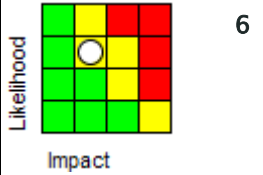
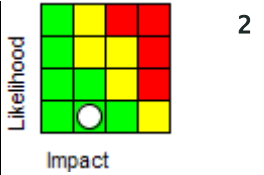
Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB 008a Resourcing Plan	Chamberlain's Workforce plan to include an effective resourcing plan, covering recruitment, retention and staff development.	Matt Lock	31-Mar-2016	
CHB008b IT Resourcing	A resourcing plan to be developed for the IT Division.	Graham Bell	31-Dec-2015	

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CHB010 Procurement waivers	<p>Cause: Lack of compliance with City Procurement Code.</p> <p>Event: Officers may purchase works, goods and services below £50,000 (without going through a competitive exercise), by use of contract waivers.</p> <p>Effect: Excessive use can result in poor value for money, possible breach of UK Public Contract Regulations 2015, legal challenge and possible disciplinary action for staff that breach the code.</p>	Christopher Bell	 12	Waivers reports shared at Procurement Steering group, Category Boards and with Senior Leadership Team. A planned approach to reduce reliance on waivers to be developed in appropriate phases, given other service priorities and capacity planning, whilst halting any illegal contract activities with immediate effect.	 2	31-Mar-2016	

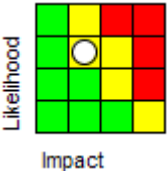
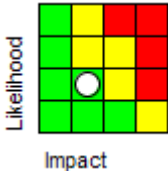
Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB010e New Procurement regulations	Re-launch of new Procurement regulations – City Procurement Code 2015.	Christopher Bell	01-Nov-2015	
CHB010g Reduce over reliance	Planned approach to be developed to reduce over reliance on waivers.	Christopher Bell	31-Mar-2016	

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CHB001 Oracle ERP Delivery	<p>Cause: System functionality not delivered, tested and deployed. Oracle Bugs and Service Requests (SRs) not resolved.</p> <p>Event: The Oracle Programme fails to deliver full functionality within planned timetable.</p> <p>Effect: Service Charge recovery fails. Closing of accounts and year end activity compromised. Adverse Audit Opinion.</p>	Peter Kane	 8	The Oracle Steering Group agreed the closure of the Oracle ERP Programme on 30 September 2015. Whilst the majority of work-streams are now complete, some remaining pieces of work have been handed over to the operational support functions to be managed under business as usual activities, which is to be expected with this level of change. The transition was completed at the end of September.	 4	30-Sep-2015	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB 001c Post go-live delivery timetable.	Linked to Programme Risk R0.28. Post go-live delivery timetable in place.	Simon Purser	30-Sep-2015	Programme closed on 30 September 2015, handover to functional support/BAU.

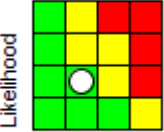

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CHB009 COL Payment Card procedures	<p>Cause: Officers holding City of London Corporation payment cards (credit cards) do not consistently submit adequate explanations on spend that would stand up to public scrutiny and display behaviours that reflect value for money principles.</p> <p>Event: Information on all expenditure through government payment cards online is shared as required under the Local Government Transparency Code 2014.</p> <p>Effect: Expenditure of public monies, perceived to be inappropriate, will be published. Poor evidence of value for money. Reputational damage and adverse publicity for the City Corporation.</p>	Christopher Bell		The new Purchasing Card Policy was approved by Finance Committee on 22 September and circulated via the Intranet on 1 October 2015. Training on the policy will be made available on City Learning for staff to complete by the end of December 2015. The new management system will enhance/improve reporting on non-compliance.		31-Dec-2015	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB009e Training	Training of Payment card holders 01/10 - 31/12/2015	Christopher Bell	31-Dec-2015	
CHB009f New PCard Management System	New Payment Card Management System to be launched.	Christopher Bell	01-Dec-2015	

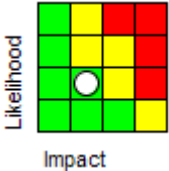
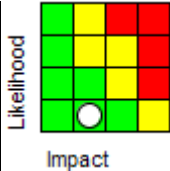
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CR14 Funding Reduction	<p>Cause: Reduced funding from Central Government.</p> <p>Event: Reduced funding available to the City Corporation.</p> <p>Effect: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels.</p>	Peter Kane	 <p>6</p>	<p>The financial strategy already addresses this risk for City Fund. Following the service based review and inclusion of these savings in budget estimates, the City Fund (non-Police) remains in balance or close to breakeven across the period. Savings begin to be reflected in the budget for 2015/16, approved by the Court, with full impact by or before 2017/18. There are risks around the implementation of the saving proposals and the achievement of savings will be monitored by the Efficiency and Performance Sub Committee on a regular basis. As savings proposals are implemented, this risk will ultimately reduce further to GREEN. The MTFP currently anticipates the Revenue Support Grant will reduce to £2m by</p>	 <p>4</p>	31-Mar-2018	↔

				<p>2019/2020. In the summer budget, the Chancellor announced overall reductions that are less steep than forecast in the March budget. We do not yet know how this affects us until after the comprehensive spending review in the autumn, but we know the deficit reduction programme is over a longer period and the squeeze has eased a little.</p> <p>Further significant cuts are likely to Home Office Funding for Police services over the next four years as a result of the Spending Review. The separate review of Police Funding Formula may result in a further reduction. The medium term financial strategy is being updated to address these likely reductions but cannot be finalised until the outcome of the SR and Formula Review is known in late November/December.</p>			
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Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR14a Scrutiny by the Officer SBR Steering Group and Efficiency and Performance Sub-Committee.	Scrutiny of the achievement of savings by the Officer SBR Steering Group and Efficiency and Performance Sub-Committee.	Caroline Al-Beyerty	31-Mar-2016	Second SBR Monitoring report to be provided to 15 September ESPC. Quarterly cycle of reporting agreed for remainder of 2015/16.
CR14b SBR implementation.	SBR implementation continues with cross departmental workstreams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality.	Caroline Al-Beyerty	31-Mar-2016	Progress is monitored by EPSC in full. Grants review is complete, now moving to implement recommendations made. Corporate Finance is liaising closely with Police finance team.
CR14f Monitoring of delivery of savings.	Robust monitoring of delivery of savings proposals – undertaken by Head of Finance, Projects.	Paul Nagle	31-Mar-2016	Second round of monitoring complete, third round to commence October 2015.

Risk No. & Title	Risk Description (Cause, Event, Impact)	Risk Owner	Current Risk Rating & Score	Risk Update	Target Risk Rating & Score	Target Date	Risk Trend
CHB006 IT Service Outage	<p>Cause: Major information systems outage (e.g. network/technology infrastructure failure. Poor recovery time.</p> <p>Event: Disruption to IT service delivery.</p> <p>Effect: Provision of service operations compromised.</p>	Graham Bell	 <p>4</p>	The Joint Operational Review is now at closure stage and has met its targets. Work has begun on actions flowing from the review to bring stability and improved resilience, target date December 2016.	 <p>2</p>	31-Dec-2016	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CHB006a Telephony changes	Update of telephony system.	Graham Bell	31-Dec-2016	
CHB006b Network infrastructure	Renewal of network infrastructure.	Graham Bell	31-Dec-2016	

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CR16 Information Security	<p>Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.</p> <p>Event: Cyber security attack – unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information.</p> <p>Effect: Failure of all or part of the IT Infrastructure, with associated business systems failures. Harm to individuals, a breach of legislation such as the Data Protection Act 1988. Incur a monetary penalty of up to £500,000. Compliance enforcement action. Corruption of data. Significant reputational damage.</p>	Graham Bell	 Likelihood Impact	4 Draft policies and guidance will be published on the intranet in early October for consultation and final sign off by 31 December 2015. A Risk Management development workshop for Members is planned for February 2016.	 Likelihood Impact	2 31-Jan-2016	↔

Action Code & Title	Action Description	Action Owner	Due Date	Action Update
CR16a Review and refresh policy	Review and refresh existing policy around cyber security and technology infrastructure risk in partnership with Agilisys.	Christine Brown	31-Dec-2015	Consultation in October with final sign off by 31 December 2015.