

CHB Detailed risk register

Report Author: Joy Ahwieh
 Generated on: 05 January 2016



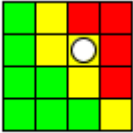
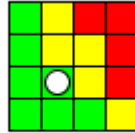
Rows are sorted by Risk Score

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

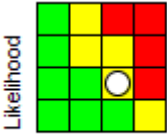
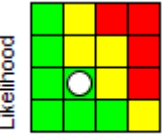
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR19 IT Service Provision	<p>Cause: The whole Police IT Estate and parts of the Corporation 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>	<p>Likelihood</p> <p>Impact</p>	16	<p>A key milestone has been passed as the IT Sub (Finance) Committee approved that three key IT projects on desktop renewal, the network refresh and communications/telephony should progress to the Projects Sub (Policy and Resources) Committee and then on into implementation. These projects should play a key role in providing a modern, resilient and flexible IT system to support wider transformation across the Corporation. Following the two recent outages, triggered by a power loss and external fibre break, further steps that will now be taken to minimise the single points of failure and increase resilience, ahead of the transformation programmes being completed. City Surveyors Department has confirmed</p>	<p>Likelihood</p> <p>Impact</p>	4	31-Dec-2016	↔

14-Jul-2015 Graham Bell				that the risk of power failure at Guildhall and Walbrook Wharf sites is listed on their Corporate Property Group risk register, with mitigating actions in place to protect City Corporation assets including the IT system. 29 Dec 2015				No change
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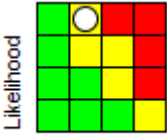
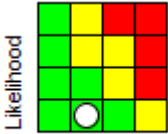

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19b JOINT Network refresh programme.	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	Gateway 4/5 report approved.	Graham Bell	29-Dec-2015	31-Dec-2016
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.	Gateway 4/5 report approved.	Graham Bell	29-Dec-2015	31-Dec-2016
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	Gateway 4/5 report approved.	Graham Bell	29-Dec-2015	31-Dec-2016
CR19k Unified Communications Programme	Replacement of desktop phones with soft phones and improved teleconferencing facilities.	Gateway 2 report approved.	Graham Bell	29-Dec-2015	31-Dec-2016
CR19l CoLP: Infrastructure as a Service	IaaS Project to move Police IT Infrastructure into a new resilient platform.	Underway and as at the end of Nov the 1st migration have been accomplished.	Graham Bell	29-Dec-2015	31-Jan-2016

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CHB008 Resourcing 13-May-2015 Peter Kane	<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>	 <p>Likelihood</p> <p>Impact</p>	12	<p>Recruitment to key posts in IT Division is now complete and resourcing plan for projects finalised with Partner Agilisys. This means that use of agency and individual contractors will now be on an exceptional basis, thereby reducing costs. The Department's workforce plan will also focus on improving succession planning and development of existing staff.</p> <p>16 Dec 2015</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2016	↔ No change

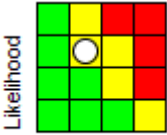
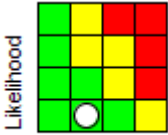
Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB 008a Resourcing Plan	Chamberlain's Workforce plan to include an effective resourcing plan, covering recruitment, retention and staff development.	In progress.	Matt Lock	16-Dec-2015	31-Mar-2016
CHB008b IT Resourcing	A resourcing plan to be developed for the IT Division.	ACTION COMPLETED. Recruitment to key posts and resourcing plan now complete.	Graham Bell	16-Dec-2015	31-Dec-2015

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CHB001 Oracle ERP Delivery 09-Mar-2015 Peter Kane	<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>	 <p>Likelihood</p> <p>Impact</p>	8	<p>The Oracle Steering Group agreed the closure of the Oracle ERP Programme on 30 September 2015. The remaining pieces of work relating to this project are currently being dealt with under business as usual activities. The number of defects/issues continue to reduce with the Project Board closely monitoring progress towards reaching full functionality.</p> <p>05 Jan 2016</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Jan-2016	↔ No change

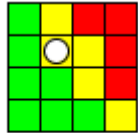
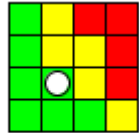

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CHB006 IT Service Outage 09-Mar-2015 Graham Bell	Cause: Major information systems outage, eg network/technology infrastructure failure. Interruption to Power supply. Event: Disruption to IT service delivery. Effect: Provision of service operations compromised.	 Likelihood	8	The risk score has increased following the two recent outages, triggered by a power loss and an external fibre break. Further steps will now be taken to minimise the single points of failure and increase resilience of the IT system, ahead of the transformation programmes being completed. In addition, City Surveyors Department has confirmed that the risk of power failure at Guildhall and Walbrook Wharf sites is listed on their Corporate Property Group risk register, with mitigating actions in place to protect City Corporation assets including the IT system. 29 Dec 2015	 Likelihood	2	31-Dec-2016	 Increased Risk Score

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB006a Telephony changes	Update of telephony system.	In progress.	Graham Bell	16-Dec-2015	31-Dec-2016
CHB006b Network infrastructure	Renewal of network infrastructure.	In progress.	Graham Bell	16-Dec-2015	31-Dec-2016

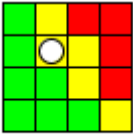
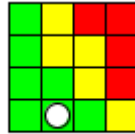

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CHB009 COL Payment Card procedures 28-Sep-2015 Christopher Bell	<p>Cause: Officers holding City of London Corporation payment cards (credit cards) do not consistently submit adequate explanations on spend that would stand up to public scrutiny and 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>	 <p>Likelihood</p> <p>Impact</p>	6	<p>Training Plan is in place, work is continuing with users of the system. There are monthly reports to Chief Officers on progress - draft sample report to be produced based on Chamberlains spend and shared at the next PSG in January for consultation.</p> <p>16 Dec 2015</p>	 <p>Likelihood</p> <p>Impact</p>	2	31-Jan-2016	↔ No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB009e Training Plan	Training of Payment card holders 01/10 – 31/12/2015	Online course has been developed and is in final testing, once complete all pcard users will have to complete it as mandatory. The training module will be part of the standard City learning online suite.	Christopher Bell	16-Dec-2015	31-Jan-2016
CHB009f New PCard Management System	New Payment Card Management System to be launched.	The new system is at user testing stage and should be ready for launch on the 18th January.	Christopher Bell	16-Dec-2015	31-Jan-2016
CHB009g VAT recovery	Ongoing work with Finance on recovery of VAT.		Christopher Bell		31-Dec-2016
CHB009h Compliance Audits	Compliance audits to be conducted by Internal Audit team.	-- enter new status update --	Christopher Bell	16-Dec-2015	31-Dec-2016
CHB009i Work with Police	-- enter action details here --		Christopher Bell		31-Dec-2016

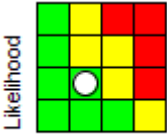
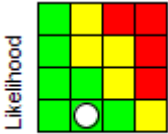

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CR14 Funding Reduction	<p>Cause: Reduced funding from Central Government.</p> <p>Event: Reduced funding available to the City Corporation and City of London Police.</p> <p>Effect: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>6</p>	<p>For our non-Police services, the settlement is better than expected. Our June forecast, based on the Treasury request to non-protected government departments to identify real terms savings of 25-40%, assumed a £3m (11%) cash reduction in revenue support grant (RSG) and rates retention funding between 2015/16 and 2016/17. However, the cash reduction in funding appears to be £1.3m (5%). The four year horizon appears to be suggesting a far less steep rate of reduction in RSG. Our earlier forecast had assumed that RSG would be reduced from £12m in 2015/16 to zero by 2019/20 whereas the provisional settlement indicates that we should still receive £6m in 2019/20.</p> <p>For Police, the settlement accords with the figures in the Autumn Statement. In our September forecast we had assumed the cash reduction to Core grant would be £2.6m (5%), but it is £0.3m (0.5%) - £2.3m better than forecast for 2016/17. In addition, Capital City funding has increased from £2.8m in 2015/16 to £4.5m in 2016/17. Details of a number of ring-fenced grants are not expected until January.</p> <p>We will be working through the implications for the Medium Term Financial Forecast and presenting the</p>	 <p>Likelihood</p> <p>Impact</p>	<p>4</p>	<p>31-Mar-2018</p>	

22-Jun-2015 Peter Kane				forward outlook to senior Members and Resource Allocation Sub-Committee early in January. Although the outcome is better than feared, it still means we need to see through the Service Based Review measures to make sure we are as efficient and effective as possible and are in a position to prioritise and maximise the benefits of future budget allocations. 29 Dec 2015				No change
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Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
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.	Second SBR Monitoring report to be provided to 4th November ESPC. Quarterly cycle of reporting agreed for remainder of 2015/16.	Caroline Al-Beyerty	04-Dec-2015	31-Mar-2016
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.	Progress is monitored by EPSC in full. Grants review is complete, recommendations agreed with implementation underway. Corporate Finance is liaising closely with Police finance team.	Caroline Al-Beyerty	04-Dec-2015	31-Mar-2016
CR14f Monitoring of delivery of savings.	Robust monitoring of delivery of savings proposals - undertaken by Head of Finance, Projects.	3rd round of monitoring complete, 4th round to commence January 2016.	Paul Nagle	04-Dec-2015	31-Mar-2016

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CR16 Information Security 22-Sep-2014 Graham Bell	Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. Event: Cyber security attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information. 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.	Likelihood  Impact	6	IT and Cyber security policy now published in draft and available to staff, subject to final signoff from Chief Officers at IT Steering Group in January. In addition, a Cyber Security and Risk Management development workshop for Members is planned for February 2016. However, further work is required to strengthen data retention and ownership procedures in line with Data Protection requirements. There is now a specific recommendation for Chief Officers to identify Information Asset Owners, subject to agreement at IT Steering Group in January. The risk score is therefore increased to Amber pending implementation of these mitigating actions. 05 Jan 2016	Likelihood  Impact	2	28-Feb-2016	 Increased Risk Score

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16a Review and refresh policy	Review and refresh existing policy around cyber security and technology infrastructure risk in partnership with Agilisys.	IT and Cyber security policy now published in draft and available to staff, subject to final signoff from Chief Officers at IT Steering Group in January.	Christine Brown	05-Jan-2016	31-Jan-2016
CR16b Review and strengthen Data Retention, Management and Ownership.	For all major systems establish data owner and retention policy for information therein.	Specific Recommendations for Chief Officers to identify Information Asset Owners, subject to agreement at IT Steering Group in January.	Christine Brown	05-Jan-2016	31-Dec-2016

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CHB010 Procurement waivers 29-Sep-2015 Christopher Bell	<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>	 <p>Likelihood</p> <p>Impact</p>	4	<p>Waivers in October 2015 dropped to 10 in total from 180 in October 2014, therefore the new Regulations have impacted the reliance on waivers as anticipated. We have agreed to monitor this position to the end of the financial year to ensure the trend is consistent.</p> <p>29 Dec 2015</p>	 <p>Likelihood</p> <p>Impact</p>	2	31-Mar-2016	 Decreased Risk Score

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB010g Reduce over reliance	Planned approach to be developed to reduce over reliance on waivers.	Significant reduction in waivers, monitoring continues.	Christopher Bell	16-Dec-2015	31-Mar-2016
CHB010h Work with Police	-- enter action details here --				31-Dec-2016