



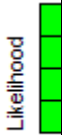
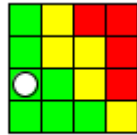

CHB Detailed risk register

Report Author: Joy Ahwiah

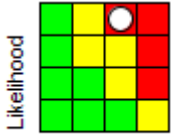
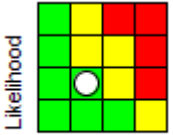
Generated on: 24 March 2016

Rows are sorted by Risk Score

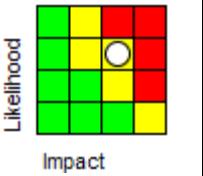
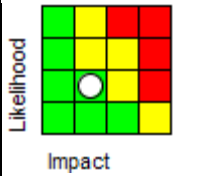

Code & Title: CHB Chamberlain's Department Risk Register 5 CR Corporate Risk Register 3

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
CHB011 Corporate Contract Management (NEW) 26-Feb-2016	Cause: CoL has no corporate contract management policy or procedures. Event: Strategic corporate contracts will fail to monitored and managed in a consistent and planned manner. Effect: Corporate contracts not delivering the commercial benefits and quality expected at contact letting, escalating prices, scope creep.	 16	A number of actions have been identified including the launch of a City Contract management framework, establishing a strategic and commercial contract management unit and training of staff on the newly developed contract management toolkit. Once approval to establish a budget for Corporate Contract Management has been received, actions to mitigate this risk will be implemented. 24 Mar 2016	 2	01-Apr-2017	 No change

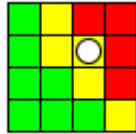
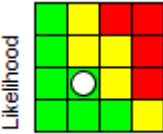
Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB011b Final report submitted to EPSC	SBR Group Final report submitted to EPSC.	Final report approved by Summit Group on 17 January 2016.	Christopher Bell; Michael Cogher	26-Feb-2016	31-Mar-2016
CHB011c Establish budget for Corporate Contract Management	Take recommendations to Finance and Establishment Committees to establish budget and additional resource requirements in established structure.	Awaiting decision from EPSC in March.		26-Feb-2016	31-May-2016
CHB011d Launch of the City Contract management framework	Launch of the City Contract management framework.				01-Apr-2017
CHB011e Training and Development of staff in the new Contract management toolkit and framework	Officers working in a contract management role be trained on the key aspects of contract management at the City. There could be an option to have nominated contract managers undertake a Corporation accreditation (or industry qualification) to ensure they are suitable to have accountability for contract management duties commensurate to the Category of supplier contract.				31-Mar-2017
CHB011f Establish a Strategic and Commercial unit	Establish a new unit that acts as the corporate resource in line with the Approach and Blended Intervention model recommended.				30-Sep-2016
CHB011g Develop City Contract Management toolkit	The toolkit would define roles and responsibilities, performance monitoring frameworks, identify our key suppliers, develop a set of corporate KPIs and create appropriate training and induction materials for the aspects of contract management to ensure an accelerated implementation phase commencing in October 2016.				30-Sep-2016

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CR19 IT Service Provision 14-Jul-2015 Graham Bell	<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>The risk is expected to reduce to Amber following the completion of the Police server migration to the Infrastructure as a Service (IAAS) over the next few weeks. Progress against the transition plan is measured regularly to ensure the risk continues to reduce towards the target status of Greenby 31 December 2016.</p> <p>24 Mar 2016</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Dec-2016	↔ No change

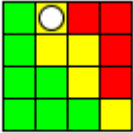
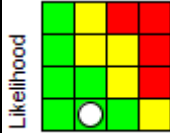

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19b JOINT Network refresh programme.	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	Gateway 4/5 report approved.	Graham Bell	26-Feb-2016	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.	Project 1a Closure report awaiting sign-off, moving into Project 2a.	Graham Bell	26-Feb-2016	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	Quotes received and options being explored.	Graham Bell	26-Feb-2016	31-Dec-2016
CR19k Unified Communications Programme	Replacement of desktop phones with soft phones and improved teleconferencing facilities.	Gateway 2 report approved.	Graham Bell	26-Feb-2016	31-Dec-2016
CR19l CoLP: Infrastructure as a Service	IaaS Project to move Police IT Infrastructure onto a new resilient platform.	Migrations ongoing, due to complete by end of March 2016.	Graham Bell	26-Feb-2016	31-Jan-2016

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CHB002 Oracle ERP Business Benefits 09-Mar-2015 Peter Kane	Cause: Plan not in place/not validated by the business users. Inadequate governance arrangements in place. Event: Failure to deliver required efficiencies and future revenue savings following upgrade of the CBIS system to Oracle R12 and the implementation of an Enterprise Resource Planning (ERP) system, consolidating other key systems and processes as appropriate. Effect: Efficiencies not delivered. System developments not controlled, resulting in proliferation of customisation or developments that deviate from core strategy.	 Likelihood Impact	12	The work on Business benefits realisation is now at initiation stage. The scope of the project is expected to be signed off at the next Project Board meeting in April 2016. The status of this risk is expected to reduce towards a target status date of 31 March 2017 as the work progresses. 24 Mar 2016	 Likelihood Impact	4	31-Mar-2017	 No change

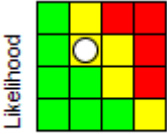
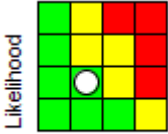

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB002a Project scope sign off	Oracle Project Board to sign off project scope.		Matt Lock		30-Apr-2016

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
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>Work is now underway, in conjunction with HR, to fully understand the underlying issues and to benchmark COL terms with other comparable organisations. The Department's workforce plan for 2016/17 will also focus on improving succession planning and development of existing staff.</p> <p>24 Mar 2016</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2016	↔ No change

Action no, Title,	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	19-Jan-2016	31-Mar-2016

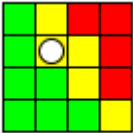
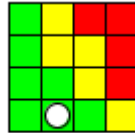
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CHB006 IT Service Outage 09-Mar-2015 Graham Bell	Cause: Major information systems outage, eg network/technology infrastructure failure. Interruption to Power supply. Event: Disruption to IT service delivery. Effect: Provision of service operations compromised.	 Likelihood	8	Steps have now been taken in the short term to minimise the single points of failure and increase resilience of the IT system, ahead of the transformation programmes being completed. Renewal of the network infrastructure, uninterruptable power supply (UPS) and update of the telephony system is in progress with a target completion date of December 2016. 24 Mar 2016	 Likelihood	2	31-Dec-2016	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB006a Telephony changes	Solution proposal being evaluated.	Solution proposal being evaluated.	Graham Bell	26-Feb-2016	31-Dec-2016
CHB006b Network infrastructure	Renewal of network infrastructure.	In progress.	Graham Bell	24-Mar-2016	31-Dec-2016

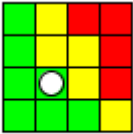
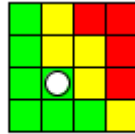
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CR14 Funding Reduction 22-Jun-2015 Peter Kane	Cause: Reduced funding from Central Government. Event: Reduced funding available to the City Corporation and City of London Police. Effect: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels and reputation.	 Likelihood	6	The recent indication of a downturn in public finances underlines the importance of continuing to deliver the Service Based Review savings and of looking for further opportunities to secure improvements in efficiency through continuous improvement in the way the Corporation operates and organises itself. These ideas will feed into an Efficiency Plan to be developed over the next few months and published as part of the deal to get certainty over local government grant over the next four years. 24 Mar 2016	 Likelihood	4	31-Mar-2017	 No change

Action no, Title,	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.	Third SBR Monitoring report to be provided to March 16 ESPC. Deep Dive reviews completed on CHL, Barbican, City Surveyors, Open Spaces, Town Clerk's.	Caroline Al-Beyerty	26-Feb-2016	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 and now in implementation stage, all other reviews now drawing to review completion, and moving into implementation stages. Significant work still required on overall Asset Management model.	Caroline Al-Beyerty	26-Feb-2016	31-Mar-2016

CR14f Monitoring of delivery of savings.	Robust monitoring of delivery of savings proposals - undertaken by Head of Finance, Projects.	Analysis of savings profile changes reported to 13th Jan EPSC, only small £197K pushing back of savings into later years on £20.3m programme. 3rd round of monitoring complete, 4th round to commence January 2016.	Paul Nagle	26-Feb-2016	31-Mar-2016
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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
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: Cybersecurity 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. Reputational damage to Corporation as effective body.	 Likelihood	6	The IT and Cybersecurity policy has been signed off at IT Steering Group and published on the intranet. Further policies and guidance will now be developed for staff. This risk is mitigated through regular organisation wide communications to all staff, most recently on being Cyber Aware. However, further work is required to strengthen data retention and ownership procedures in line with Data Protection requirements. Work is now in progress with Chief Officers to identify Information asset owners for further training and development in information management and security. 24 Mar 2016	 Likelihood	2	31-Dec-2016	↔ No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
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, have now been agreed at the IT Steering Group. Work will now commence on working with Chief Officers to identify Information asset owners for further training and development in the information management/security area.	Christine Brown	14-Jan-2016	31-Dec-2016
CR16h Online Training for Members	Online training to be made available to Members following workshop in February 2016.		Graham Bell		30-Sep-2016

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CHB001 Oracle ERP Delivery (Pending Closure) 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>	4	<p>The Oracle Steering Group agreed the closure of the Oracle ERP Programme on 30 September 2015. Most defects/issues have been resolved, with the Project Board closely monitoring progress towards reaching full functionality. It is anticipated this risk will be approved for closure at the next Project Board meeting.</p> <p>24 Mar 2016</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2016	↔ No change

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