

CHB Detailed risk register

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Rows are sorted by Risk Score

Code & Title: CHB Chamberlain's Department Risk Register 4 CR Corporate Risk Register 3

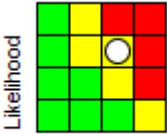
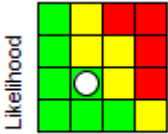
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR19 IT Service Provision	<p>Cause: The whole Police IT Estate and parts of the Corporation 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 (may also lead to low staff morale). Possible failure of critical Corporation and Policing activities. Reputational damage.</p>	<p>Likelihood</p> <p>Impact</p>	16	<p>The primary focus of the team is on stabilisation, managing change on a risk assessed basis and prioritising activity. Work on the Police server migration to the Infrastructure as a Service (IaaS) provision is taking longer than expected but is planned to be complete by the Autumn. Deployment of devices under the Joint End User Device Renewal has continued but the pace is slower than originally thought to ensure the quality of the new devices meets user expectations. The more robust approach to change management will help lower the risk of interruptions in service. A fundamental review of all operational IT risks will focus on identifying interdependencies and ensuring the risks are more clearly</p>	<p>Likelihood</p> <p>Impact</p>	4	31-Dec-2017	↔

14-Jul-2015 Simon Woods				defined and managed in a holistic manner moving forwards. However, we expect the risk in its current form to have reduced to Amber (6) by December 2016, followed by steady progress towards Green (4) over the following months. 05 Jul 2016				No change
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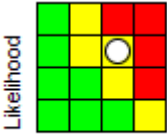
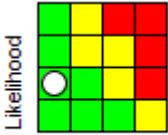

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19b JOINT Network refresh programme.	Joint network refresh programme to resolve issues around network resilience and ensure we have diverse routes for network traffic, avoiding single points of failure.	JOINT Network refresh programme – work on-going. Work currently focussing on ensuring the scope of the planned works is understood and any gaps addressed.	Simon Woods	20-Jun-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.	Work on-going but pace is slower than originally planned to ensure that the quality is in line with users expectations. Planning around the next generation devices continues and IT Division is finalising the PO to progress this work.	Simon Woods	20-Jun-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	IT Division reviewing what infrastructure will be retained within Police premises and working to align to the Police accommodation programme.	Simon Woods	20-Jun-2016	31-Dec-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 Business benefits realisation project is underway although initial analysis of the feedback received from Business Users has identified some areas where process efficiencies might be achieved. 05 Jul 2016	 Likelihood Impact	4	31-Mar-2017	 No change

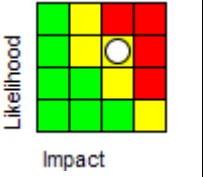
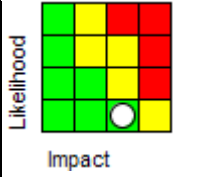
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CHB002j Feedback analysis	Review feedback and formulate recommendations for improvements.	Feedback catalogued, initial screening undertaken now with Oracle Functional Support team to review and formulate solutions.	Matt Lock	05-Jul-2016	31-Aug-2016
CHB002k Process analysis	Walk through key processes to identify potential efficiency gains.	Resourcing to be agreed, work will compress to align with scheduled reporting.	Matt Lock	05-Jul-2016	31-Aug-2016
CHB002l Final report on findings	Full report to be made to Oracle Benefits Realisation Steering Group.	Structure for final report in preparation, will be populated as elements of the review conclude.	Matt Lock	05-Jul-2016	30-Sep-2016

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CHB008 Resourcing 13-May-2015 Peter Kane	<p>Cause: Possible growing gap between COL's pay and reward package compared to other organisations.</p> <p>Event: Difficult to recruit and retain staff across the department.</p> <p>Effect: Recruitment and retention of 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. Establishment Committee recently agreed that a Market Forces Supplement Panel may approve supplements to salary up to set levels depending on the grade of the post. This should reduce delays in recruiting to key posts.</p> <p>05 Jul 2016</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2017	↔ No change

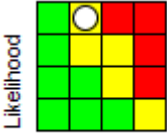
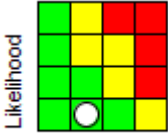
Action no, Title,	Description	Latest Note			Managed By	Latest Note Date	Due Date
CHB 008a Resourcing Plan	Chamberlain's Workforce plan to include an effective resourcing plan, covering recruitment, retention and staff development.	In progress.			Matt Lock	05-Jul-2016	30-Sep-2016

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CHB011 Corporate Contract Management 26-Feb-2016 Peter Kane	Cause: CoL has no corporate contract management policy or procedures. Event: Strategic corporate contracts will fail to be monitored and managed in a consistent and planned manner. Effect: Corporate contracts not delivering the commercial benefits and quality expected at contract letting, escalating prices, scope creep.	 Likelihood Impact	12	Monitoring ongoing using targeted approach to identify key contracts, pending full implementation of the proposed new Contract Management regime. Mitigating actions will be taken immediately by a Lead Contract manager on any issues that arise. Procurement process now underway to appoint a consultant. 05 Jul 2016	 Likelihood Impact	2	01-Apr-2017	 No change

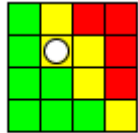
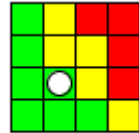
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CHB011f Establish a Strategic and Commercial unit	Establish a new unit that acts as the corporate resource in line with the Approach and Blended Intervention model recommended.	To formally establish the Commercial Contract team within the City Procurement structure.	Christopher Bell	05-Jul-2016	31-Jan-2017
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.	Procurement process is now underway and work on designing the new Contract Management Framework will commence, following the successful appointment of a consultant.	Christopher Bell	05-Jul-2016	30-Sep-2016

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CR16 Information Security 22-Sep-2014 Simon Woods	<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: Cybersecurity 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. Reputational damage to Corporation as effective body.</p>		12	<p>Work by IT Division in partnership with the Police Director of Information has raised awareness of the risks around information management and security. The senior leadership team of the Corporation is currently reviewing the highest level accountabilities in this area to ensure the Corporation has the ability to manage risks in this area effectively.</p> <p>20 Jun 2016</p>		4	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.	A Chief Officer Cyber workshop, delivered by Templar Executives, on 23 June, significantly raised awareness and helped to identify priority areas for action. There will be continued engagement throughout the summer to with a view to building a culture of information ownership both corporately and across departments. Work is well underway and Senior Information Asset Owners and Information Asset Owners have now been identified and communicated with in a number of departments.	Christine Brown	05-Jul-2016	31-Dec-2016
CR16h Online Training for Members	Online training to be made available to Members following workshop in February 2016.	Online training options are still being explored to identify the most training package. This should be available and promoted to Members by September 2016.	Simon Woods	20-Jun-2016	30-Sep-2016

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CHB006 IT Service Outage 09-Mar-2015 Simon Woods	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 Head of IT has instigated a more detailed analysis of the infrastructure in place with a plan to build a more comprehensive view of the systems and services we have. This configuration information is forming part of a more robust approach to configuration and change management. Whilst this work is progressing the level of scrutiny around change has been increased to lower the risk of unplanned failures. 05 Jul 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.	Telephony proposal for Bishopsgate approved and PO raised with Agilisys/Daisy.	Simon Woods	05-Jul-2016	31-Dec-2016
CHB006b Network infrastructure	Renewal of network infrastructure.	Ongoing.	Simon Woods	05-Jul-2016	31-Dec-2016

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CR14 Funding Reduction	<p>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.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>6</p>	<p>The Corporation has taken steps to ensure it has a sustainable medium term financial plan and this has been on track. However, the full impact of the Brexit vote is yet to be assessed: it could impact on government grants, rental and business rate income. It is not clear whether the Government will need to revise the current trajectory of cuts within public finances or whether the plans for business rate devolution within London are affected. Although rental income and business rates income is forecast to grow in the short term, there are also potential risks in the medium term to these income streams if business occupation and rental levels within the City fall. The economic uncertainty underlines the importance of continuing to deliver the Service Based Review savings and of looking for further opportunities to secure improvements in efficiency for all funds 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. For the Police Fund, the increase in the Business Rate Premium from April 2016 covers £1.6m of additional cost pressures relating to security, however, the underlying financial position remains</p>	 <p>Likelihood</p> <p>Impact</p>	<p>4</p>	<p>31-Mar-2017</p>	<p>↔</p>

22-Jun-2015 Peter Kane			challenging with forecast deficits in 2017/18 and 2018/19 respectively to be addressed. 05 Jul 2016				No change
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR14b SBR implementation – Departmental Savings and cross-cutting reviews.	SBR proposal implementation within Departments and with cross cutting workstreams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality. Scrutiny by the Officer Strategic Resources Group and Efficiency and Performance Sub-Committee.	SBR proposal implementation within Departments and with cross cutting workstreams to identify further efficiencies in strategic asset management, income generation, and grants. Scrutiny by the Officer Strategic Resources Group and Efficiency and Performance Sub-Committee.	Caroline Al-Beyerty	05-Jul-2016	31-Mar-2017
CR14h Develop Efficiency Plan	Efficiency Plan to be developed and approved by Finance and Policy & Resources Committee which sets out a framework that would incorporate continuous improvement savings and a rolling review programme to secure more radical changes in efficiency and effectiveness.	Efficiency Plan discussed at April Strategic Resources Group and April Summit Group. Update to RASC awayday June, Report to EPSC and RASC in July.	Peter Kane	05-Jul-2016	14-Oct-2016
CR14i Develop strategy to address projected Police deficits	City Police is forecasting deficits in 2017/18 and 2018/19 which need to be addressed.	CoL Police is initiating an efficiency programme to address the shortfall. Business Rate devolution may also potentially plug this gap when government grant funding is forecast to be removed completely from 19/20 , however detailed modelling is required to evaluate impact.	Caroline Al-Beyerty	05-Jul-2016	31-Mar-2017