

CHB Detailed risk register

Report Author: Matt Lock

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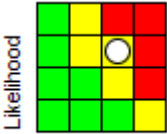
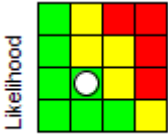



Rows are sorted by Risk Score

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 14-Jul-2015 Simon Woods	<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>	Likelihood Impact	16	The primary focus of the team is on stabilisation, a more robust approach to managing change has been adopted, reducing the risk of service interruption. Team level approach to risk management is now aligned fully to the top level approach. IT Division is seeking additional budget to undertake more risk mitigation activity. The risk is expected to reduce to Amber by December 2017 followed by steady progress to Green in the following months. 06 Oct 2016	Likelihood Impact	4	31-Dec-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
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.	The purchase order has been raised and work to design the full managed service desktop is underway. Delivery of the new solution will take place throughout 2017.	Simon Woods	06-Oct-2016	31-Dec-2017
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 has submitted a request for a budget uplift to allow more mitigations to be actioned and lower risks in the CoLP infrastructure.	Simon Woods	06-Oct-2016	31-Dec-2016
CR19e Network Transformation Requirements	This is the first phase of the revised project to fully replace ageing unsupportable networking hardware from the City and City Police's infrastructure.	The joint network refresh programme was reviewed and limitations discovered with the approach being taken. A full requirements gathering exercise will now be undertaken and report back in early 2017 with the full assessment of what needs to be done.	Simon Woods	06-Oct-2016	28-Feb-2017
CR19f Network Transformation	The full delivery of a new network for the Corporation and city Police.	This work will follow-on from CR19e and lead to a completely new network for both organisations that is fully supportable. The full roll-out will take place throughout 2017/18.	Simon Woods	06-Oct-2016	31-Mar-2018

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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 nearing completion with a draft outcome report submitted to the Steering Group. A series of new actions will be required to implement recommendations made, there will be resource implications. 29 Sep 2016	 Likelihood Impact	4	31-Mar-2017	 No change

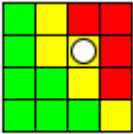
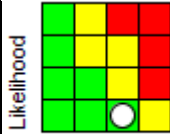

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CHB002j Feedback analysis	Review feedback and formulate recommendations for improvements.	Complete. User feedback and issues with the Oracle Support team for resolution.	Matt Lock	29-Sep-2016	31-Aug-2016
CHB002k Process analysis	Walk through key processes to identify potential efficiency gains.	Complete.	Matt Lock	29-Sep-2016	31-Aug-2016
CHB002l Final report on findings	Full report to be made to Oracle Benefits Realisation Steering Group.	Draft report issued to Steering Group for consideration – to be signed off at meeting on 10 th October.	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>While there are a small number of specialist posts to be recruited to, the position is currently stable. A more dynamic corporate process for agreeing Market Forces Supplements will reduce delays in recruiting to key posts where salary negotiations are critical. The Department's workforce plan for 2016/17 will also focus on improving succession planning and development of existing staff.</p> <p>29 Sep 2016</p>	<p>Likelihood</p> <p>Impact</p>	4	31-Mar-2017	↔ No change

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CHB 008a Resourcing Plan	Chamberlain's Workforce plan to include an effective resourcing plan, covering recruitment, retention and staff development.	In progress, Workforce plan to be refreshed in alignment with the departmental business plan preparation.	Matt Lock	29-Sep-2016	30-Nov-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 contact letting, escalating prices, scope creep.	 Likelihood Impact	12	Commercial team structure now agreed by Committee, monitoring ongoing using targeted approach to identify key contracts, pending full implementation of the proposed new Contract Management regime. 30 Sep 2016	 Likelihood Impact	2	01-Apr-2017	 No change

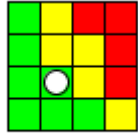
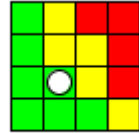
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CHB011f Establish a Strategic and Commercial unit	Establish a new unit that acts as the corporate resource in line with the Approach and Blended Intervention model recommended.	All approvals have now been achieved via Committee and Transformation Fund for the establishment and budgets to resource the new Commercial unit. All newly created posts are going through the corporation's Job Evaluation process with recruitment commencing early October.	Christopher Bell	30-Sep-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.	Programme Consultant was appointed in July with the draft Framework and toolkit due to be presented in the 14th October to Chamberlain's leadership for review and further consultation within the Corporation.	Christopher Bell	30-Sep-2016	30-Sep-2016

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CR16 Information Security 22-Sep-2014 Matt Lock; Simon Woods	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	12	Initial paper taken to Summit Group outlining a number of options for improving technical security. Further work to be done to shape the proposal and bring before Members. 06 Oct 2016	 Likelihood	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.	Simon Woods	06-Oct-2016	30-Nov-2016
CR16i Technical security infrastructure	The development and implementation of more technical security infrastructure	Initial proposals for improvements to the technical security infrastructure in use have been shared with Summit Group. Further work to be done to ensure that the proposals are appropriate, funded, and the on-going impact in terms of IT support is understood.	Gary Brailsford-Hart / Simon Woods	06-Oct-2016	31-Mar-2017

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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.		8	The change to the core transformation programmes that will ensure we deploy complete solutions will mean that some ageing infrastructure is in place longer than we would wish. IT Division has requested additional funding to help mitigate against the increased likelihood of failures. This will continue to be a focus until the transformation works deliver a more robust platform during 2017/18. 06 Oct 2016		2	31-Dec-2016	↔ No change

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CHB006a Telephony changes	Mitigations to the existing telephony infrastructure to lower the risk of outages.	IT Division has recently met with Mitel and Daisy (our telephony providers) to review options to improve the supportability of the telephone systems in use. Options will be written up over the coming month.	Simon Woods	06-Oct-2016	31-Dec-2016
CHB006b Network infrastructure	Renewal of network infrastructure.	As a result of the changes to the approach we are taking to network replacement, we have been assessing tactical changes to lower the risk of the ageing infrastructure we will need to maintain until the new network is in place. Ideas for improving the stability of the Guildhall West Wing are being progressed at the current time.	Simon Woods	06-Oct-2016	31-Dec-2016
CHB006c Incident Response	The way which we respond to major outages.	Our IT Service Management Consultant has been working to improve our approach to the way we respond to major incidents. This new approach will be embedded before the end of the year.	Simon Woods	06-Oct-2016	31-Dec-2016

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<p>CR14 Funding Reduction</p> <p>22-Jun-2015 Peter Kane</p>	<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>4</p>	<p>Current modelling shows gains made from growth in business rates income now outweigh the cost of appeals. This will be reflected in higher business rate retention from 2017/18 onwards. This is likely to continue in the short term.</p> <p>The impact of Brexit on business rates income is not yet determinable, but if businesses leave the City and empty premises increase this would have a downward pressure on retained business rates income.</p> <p>Revaluation of rateable values (RV) is likely to increase the business rates paid by businesses, but as such increases do not count as growth, there is no financial benefit to the City. Additional income from an increase in RV will continue to be redistributed nationally through the mechanism of tariffs and top ups.</p> <p>The overall risk score has therefore improved and we consider that there is no longer a risk of reduced government funding in the short term.</p> <p>A detailed report explaining the likely funding impact is being prepared and will be discussed with members as part of our medium term financial planning.</p> <p>03 Oct 2016</p>	<p>Likelihood</p>  <p>Impact</p>	<p>4</p>	<p>31-Mar-2017</p>	<p>↓</p> <p>Improved</p>

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 is going well. 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	03-Oct-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 approved for publication	Peter Kane	03-Oct-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.	City Police are developing a saving programme following a fundamental review of activity and cost drivers. However it is likely that this programme of savings will be unable to cover the full deficit. Further work to be carried out and proposals to be made to Finance Committee and Resource Allocation Sub Committee.	Caroline Al-Beyerty	03-Oct-2016	31-Mar-2017