



## CHB Corporate and departmental risks - detailed report EXCLUDING COMPLETED ACTIONS

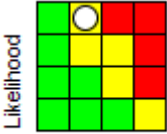
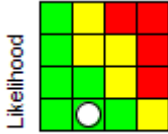

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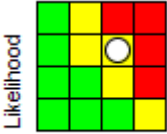
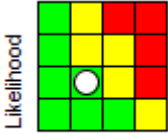

Rows are sorted by Department Code

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
CHB002 Oracle ERP Business Benefits  09-Mar-2015 Peter Kane	<p><b>Cause:</b> Recommendations of the Oracle Benefits Realisation review not implemented. Inadequate governance arrangements in place to ensure effective prioritisation of development activity.</p> <p><b>Event:</b> Failure to deliver efficiencies and future revenue savings that might be achieved/facilitated through system optimisation of the Oracle application.</p> <p><b>Effect:</b> System functionality fails to meet user requirements, developments not prioritised to ensure that value is optimised</p>	<p>Likelihood</p> <p>Impact</p>	6	<p>The Oracle Business Benefits Realisation Review has now concluded, the residual risk focusses on implementation of the recommendations and continued development and enhancement of the application, this risk is now within the business as usual operation and support of the application.</p> <p><b>06 Apr 2017</b></p>	<p>Likelihood</p> <p>Impact</p>	4	31-May-2017	

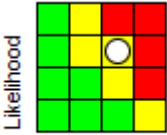
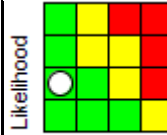

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB002m	Implementation of recommendations made in the Oracle Benefits Realisation Review	Good progress being made on implementations expected to conclude at next Oracle board meeting in May, specifically consideration of the future application strategy. Implementation issues closed.	Philip Gregory	06-Apr-2017	31-May-2017

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CHB006 IT Service Outage  09-Mar-2015 Sean Green; <del>Simon Woods</del>	<b>Cause:</b> Major information systems outage, e.g. network/technology infrastructure failure. Interruption to Power supply. <b>Event:</b> Disruption to IT service delivery. <b>Effect:</b> Provision of service operations compromised.	 Likelihood	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 been granted additional funding to help mitigate the increased likelihood of failures. This will continue to be a focus until the transformation works deliver a more robust platform during 2017/18.  <b>06 Apr 2017</b>	 Likelihood	2	31-Dec-2017	

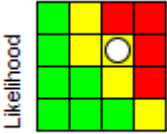
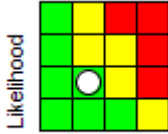

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CHB006a	Solution proposal being evaluated.	Updates to the telephone infrastructure are to be made throughout 2017. In the interim mitigations have been put into place to lower the risk of outages.	Sean Green; <del>Simon Woods</del>	06-Apr-2017	31-Dec-2017
CHB006b	Renewal of network infrastructure.	An audit of the current network infrastructure is being carried out.	Sean Green; <del>Simon Woods</del>	06-Apr-2017	31-Dec-2017

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CHB008 Resourcing  13-May-2015 Peter Kane	<p><b>Cause:</b> Possible growing gap between COL's pay and reward package compared to other organisations.</p> <p><b>Event:</b> Difficult to recruit and retain staff across the department.</p> <p><b>Effect:</b> 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>For some specialist posts within the department that are challenges to recruit to and other instances where pay levels make it hard to recruit candidates with talent and experience. 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 will have an increased focus on improving succession planning and development of existing staff.</p> <p><b>06 Apr 2017</b></p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2017	

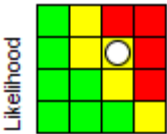


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CHB 008b	Develop a succession plan identifying those posts where internal succession is desirable and viable. Putting a strategy in place to achieve this.	High level managers posts are difficult to recruit to succession planning in progress putting a strategy in place where internal succession is desirable and viable.	Matt Lock	06-Apr-2017	31-Mar-2017

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<b>CHB011 Corporate Contract Management</b>  26-Feb-2016 Peter Kane	<b>Cause:</b> CoL has no corporate contract management policy or procedures. <b>Event:</b> Strategic corporate contracts will fail to be monitored and managed in a consistent and planned manner. <b>Effect:</b> Corporate contracts not delivering the commercial benefits and quality expected at contract letting, escalating prices, scope creep.	 Likelihood	12	The Commercial Contract Management team are now live with 5 out of 7 job roles filled. The corporate scorecard is in final draft format pending approvals and this if approved will see the toolkit and framework finalised for issue. A pipeline of initial opportunities has been compiled with the first pipeline review being held 4th April 2017.  <b>06 Apr 2017</b>	 Likelihood	2	01-Apr-2017	

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB011f	Establish a new unit that acts as the corporate resource in line with the Approach and Blended Intervention model recommended.	Five roles out of the 7 created have now been successfully filled within the new team. Interview to be held on Thursday 16th March 2017 for the Assistant Director role and the advert for the remaining Commercial Contract Manager closes on 7th April 2017.	Christopher Bell	06-Apr-2017	30-Apr-2017
CHB011g	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.	Corporate Supplier Scorecard is in final draft format and pending approval at SRG, Summit and EPSC during April and May will see the conclusion of the framework and supporting toolkit. The scorecard approval will see all documentation tailored and finalised for release in May/June 2017. Still in time to have Quarter 1 process commence.	Christopher Bell	06-Apr-2017	30-Apr-2017

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<b>CHB012 Value for Money (VFM)</b>  21-Nov-2016 Caroline Al-Beyerty; Peter Kane	<b>Cause:</b> The City Corporation needs to be able to demonstrate it is achieving value for money in all its areas of expenditure. <b>Event:</b> Reduced funding available to the City Corporation emphasises the need to use funds in a way that achieves value for money. <b>Effect:</b> City Corporation will be unable to demonstrably achieve progress on obtaining value for money, significantly impacting on both service delivery levels and reputation.	 Likelihood Impact	12	Review completed and reported to Efficiency & Performance Sub-Committee. VFM is to be embedded in the Business Planning process with an annual self—assessment of performance on VFM by service departments. Detailed post-SBR Efficiency Plan to be drafted and implemented, including a framework that would incorporate continuous improvement savings and a rolling review programme to secure more radical changes in efficiency and effectiveness.  <b>05 Apr 2017</b>	 Likelihood Impact	4	31-Dec-2017	

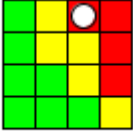


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CHB12b	VFM to be embedded in the Business Planning process, including an annual self—assessment of performance on VFM by service departments which highlights areas requiring improvement, open to scrutiny by Service Committees and Efficiency & Performance Sub-Committee.	VFM challenge embedded in the Business Planning process with an annual self—assessment of performance on VFM by service departments. A VFM checklist of questions will go out with the other guidance on producing the new format detailed Business Plan over the summer for inclusion in draft business plans in Oct/Nov. A summary evaluation/review of the VFM data provided across the whole of the City once the BP plans have all been submitted – likely to be in Q4 17/18.	Caroline Al-Beyerty	05-Apr-2017	31-Dec-2017
CHB12c	Detailed post-SBR Efficiency Plan to be drafted and implemented, including a framework that would incorporate continuous improvement savings and a rolling review programme to secure more radical changes in efficiency and effectiveness.	Court of Common Council approved the published Efficiency and Sustainability Plan on the 13th October 2016. Report on the Implementation of Efficiency and Sustainability Plan was approved at Efficiency & Performance Sub-Committee on 17th February 2017 setting out milestones to implement Efficiency Plan. Monthly milestone reports provided to each SRG and Summit Group setting out progress on Chief Officer Peer Reviews, Central Risk Review and implementation of 2% continuous budget reductions from 2018/19.	Caroline Al-Beyerty	18-Apr-2017	30-Jun-2017

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<b>CHB014 Loss of ESF Funding for Central London Forward CESI Program</b>  19-Jan-2017 Christopher Bell	<b>Cause:</b> City of London Corporation have not complied with ESF grant terms and conditions in relation to the procurement of the contractor for this program. <b>Event:</b> City Procurement and Comptrollers are in dialogue with the GLA in relation to the audit findings of this progress <b>Effect:</b> potential loss of ESF grant to a max of 300k which may have to come to finance committee contingency fund if GLA audit decision is upheld.	 Likelihood Impact	12	Meeting held between the GLA and representatives from City Procurement and Comptrollers. The GLA are to supply further guidance on their correction requirements and penalty levels and CoL to re-present the case in a clear and concise manner. Aiming for a response to be submitted in April 2017. In summary the GLA's position is that their initial decision is upheld with 100% of grant loss applicable.  <b>18 Apr 2017</b>	 Likelihood Impact	2	31-May-2017	

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CHB014d	Report to be prepared jointly by Comptrollers and City Procurement outlining the process that was followed in 2014, the justification for the measures taken and why the procurement does not fall foul of the ESF procurement requirements to the extent of a 100% loss of grant in line with the corrections directive they will supply us.	City Procurement are liaising with Comptrollers to produce the required report with an aim to have final version for submission in April 2017.	Christopher Bell	07-Apr-2017	14-Apr-2017
CHB014e	Report to be submitted to GLA for final verdict.	Once report is finalised and signed-off internally, it will be sent to the GLA.	Christopher Bell	07-Apr-2017	21-Apr-2017
CHB014f	Receive verdict from GLA and take any further mitigation actions to secure lost funding if needed.	Awaiting outcome from above action.	Christopher Bell	15-Mar-2017	12-May-2017

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<b>CR16 Information Security</b>  22-Sep-2014 Sean Green; <del>Simon Woods</del>	<b>Cause:</b> Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. <b>Event:</b> Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information. <b>Effect:</b> 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  Impact	12	Paper regarding improving technical security was approved by IT Sub-Committee in January 17. Now proceeding with the implementation of the recommendations.  <b>07 Apr 2017</b>	 Likelihood  Impact	4	31-Dec-2017	

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CR16b	For all major systems establish data owner and retention policy for information therein.	Paper was approved by Summit Group in December and is now being progressed through the relevant Committee processes and project governance where relevant.	Christine Brown	07-Apr-2017	28-Feb-2017
CR16h	Online training to be made available to Members following workshop in February 2016.	Induction training provided - Gary Brailsford Hart is supporting this risk	Sean Green; <del>Simon Woods</del>	07-Apr-2017	03-Apr-2017
CR16i	The Development and implementation of more technical security infrastructure	Paper regarding improving technical security was approved by IT Sub-Committee in January 17. Now proceeding with the implementation of the recommendations.	Sean Green; <del>Simon Woods</del>	07-Apr-2017	31-Mar-2017

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<b>CR19 IT Service Provision</b>  14-Jul-2015 Sean Green; Simon Woods	<b>Cause:</b> The whole Police IT Estate and parts of the Corporation are in need of further investment. <b>Event:</b> For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service. <b>Effect:</b> Loss of communications or operational effectiveness (may also lead to low staff morale). Possible failure of critical Corporation and Policing activities. Reputational damage.	 Likelihood	16  Impact	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 assessing how additional funds approved by Committee should be distributed 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.  <b>07 Apr 2017</b>	 Likelihood	4  Impact	31-Dec-2017	

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CR19c	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Delivery of the new solution will take place throughout 2017.	Sean Green; Simon Woods	07-Apr-2017	31-Dec-2017
CR19d	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure	Remediation work has now started and will continue throughout 2017.	Sean Green; Simon Woods	07-Apr-2017	31-Dec-2017
CR19e	This is the first phase of the revised project to fully replace ageing unsupported networking hardware from the City and City Police's infrastructure.	Audit work now completed. Procurement phase now in progress.	Sean Green; Simon Woods	07-Apr-2017	30-Jun-2017
CR19f	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.	Sean Green; Simon Woods	07-Apr-2017	31-Mar-2018



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<b>CR23 Police Funding</b>  21-Nov-2016 Caroline Al-Beyerty	<p><b>Cause:</b> Reduction in government funding and growing demand in Policing services leading to pressures for the City Fund -Police.</p> <p><b>Event:</b> Reduction in government funding. The Government's stated intention is that the shortfall should be met from an increase in the precept (in the City's case, the business rate premium)</p> <p><b>Effect:</b> City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium Term Financial Plan.</p> <p>Potential adverse reaction from business community to increased premium following so swiftly on significant rise in business rates in the City following the government's revaluation exercise.</p>	<p>Likelihood</p> <p>Impact</p>	12	Escalated to Corporate level as per instruction from Chamberlain. Subject to confirmation by CORMG/Summit Group.  <b>06 Apr 2017</b>	<p>Likelihood</p> <p>Impact</p>	4	31-Mar-2018	<span style="color: blue;">■</span>

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CHB013a	Limited opportunities in 2017/18 to make in year savings against front line police officer budgets without impacting adversely on delivery of key policing plan objectives. Police staff numbers subject to further scrutiny as part of in-year savings exercise.	Police proposed cashable savings target has been laid out at £1.2 million for 2017/18 and £1.3m p.a. on going following this.	Caroline Al-Beyerty	06-Apr-2017	18-May-2017
CHB013b	Exhaust the Police Reserves by 31 March 2018	2016/17 estimated drawdown of £2.6m with the remaining balance of £1.5m being drawn down in 2017/18. [to be updated before the May Committee- awaiting final 2016/17 position from Police Finance]	Caroline Al-Beyerty	06-Apr-2017	31-Mar-2018
CHB013c	The Town Clerk, the Chamberlain and the Commissioner, to commission a review of the Police operating model, focusing on future demand modelling and how best to secure VFM, to identify options to address the, as yet unfunded, projected deficits of £5.6m in 2018/19 and £3.8m in 2019/20.	Deloitte will be carrying out the review during April- June. Work has commenced.	Caroline Al-Beyerty	06-Apr-2017	31-Jul-2017
CHB013d	Consider increase in the business rates premium in future periods	Will be considered as part of the medium term financial planning for 2018/19.	Caroline Al-Beyerty	06-Apr-2017	31-Mar-2018

