

Committee(s)	Dated:
Establishment Committee	17 October 2017
Subject: Comptroller and City Solicitor's Departmental Risk Management report	Public
Report of: Michael Cogher	For Information
Report author: Nick Senior – Comptroller & City Solicitor's Department	

Summary

The purpose of this report is to provide an update on the Comptroller and City Solicitor's departmental risks as at 30 September 2017.

Recommendation(s)

The Committee is recommended to note the report.

Main Report

Background

1. The Audit and Risk Management Committee require departments to maintain a risk register using the Covalent risk management system and provide a quarterly risk management report to their respective committee.

Current Position

2. The departmental risks are summarised in Appendix 1.
3. Strategic and operational risks are reviewed by the C&CS Senior Management Team on a monthly basis.
4. The Committee are requested to note that the risk rating for Risk CCS 002 Loss of Information Assets has been revised to include compliance with the General Data Protection Regulations (GDPR) due to come into force on 25 May 2018 on the basis that the FoI and Data Protection Compliance Team transferred to C&CS in April 2017 and are responsible for the revision of corporate policies & procedures, advising and training departmental representatives on GDPR compliance.

Conclusion

5. The Establishment Committee is requested to approve this report.

Appendices

- Appendix 1 – Comptroller and City Solicitor's Departmental Risk Register

Nick Senior

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Appendix 1

C&CS Detailed risk register

Report Author: Nick Senior

Generated on: 30 September 2017



Rows are sorted by Risk Score

Code & Title: CCS RISKS 5

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
CCS 002 Loss of Information Assets 04-Mar-2015 Michael Cogher	<p>Cause - Failure to follow agreed procedures in compliance with Data Protection requirements.</p> <p>Event - Personal data breach</p> <p>Effect - Severe financial penalty, reputation damaged, breach of confidentiality</p>	<p>Likelihood</p> <p>Impact</p>	6	<p>Compliance with data protection requirements will become increasingly challenging due to the enhanced requirements of the General Data Protection Regulations due for implementation on 25 May 2018.</p> <p>The rating therefore remains at Serious/Possible.</p> <p>25 Sep 2017</p>	<p>Likelihood</p> <p>Impact</p>	4	31-May-2018	↔ No change

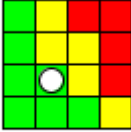
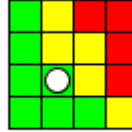

Action no, Title,	Description	Latest Note	Managed By	Latest	Due Date
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				Note Date	
CCS 002a GDPR preparations and guidance	C&CS Compliance Information Team in liaison with ICT: Implement GDPR project key elements: <ul style="list-style-type: none"> Revised Policies and Procedures Training programme for members, senior managers and Access to Information Network representatives Creation of IT solutions to support compliance Compliance audits 	<ul style="list-style-type: none"> Project plan in place and agreed. Recruitment to Compliance Information Assistant to support the GDPR project successful. Summit Group presentation, P&R Committee approved project plan and approach. GDPR Bill issues and currently being reviewed. GDPR training sessions scheduled. 	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 002b C&CS Quarterly DPA audits	Quarterly DPA audits to be undertaken by CCS Information Team	DPA audits undertaken June 2017 and September 2017	Michael Cogher	25-Sep-2017	31-Mar-2018

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
CCS 001 Recruitment and retention of experienced legal staff 12-Feb-2015 Michael Cogher	Cause - Private sector legal firms and other local authorities may offer more attractive remuneration packages Event - Loss of critical expertise and competence Effect - Delivery of legal advice and documentation delayed, loss of income, assets exposed to higher risks	 Likelihood Impact	4	A review of benchmarked salaries in August 2017 confirms that C&CS salaries are competitive within the local and central government legal employment market. 21 Sep 2017	 Likelihood Impact	4	31-Mar-2018	↔ No change

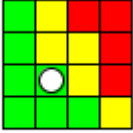
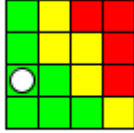
Action no, Title,	Description	Latest Note	Managed By	Note Date	Due Date
CCS 001D Monitor salary competitiveness	Monitor salary competitiveness based on monthly benchmarking of relevant organisations advertised salaries.	Analysis of weekly job adverts to create benchmark. Monitor salary levels externally to ensure that C&CS salaries are competitive. Current position is that salaries are competitive compared to central and local government equivalent roles.	Michael Cogher	25-Sep-2017	31-Mar-2018

Risk no, Title, Creation date,	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score	Risk Update and date of update	Target Risk Rating & Score	Target Date	Current Risk score
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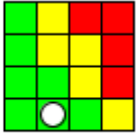
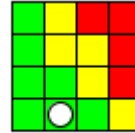

Owner							change indicator	
CCS 003 Managing Legal Risk 04-Mar-2015 Michael Cogher	Cause - Lawyers not up to date with law, poor communication, lack of supervision, agreed procedures not followed, file reviews not completed Event - physical and intellectual property assets at risk, court hearings missed, high risk matters not reported, inadequate advice provided, cases not progressed in a timely fashion Effect - financial penalty, loss of client confidence in the legal service, reputation	 Likelihood Impact	4	C&CS Risk Management procedures were audited independently in June 2017 and were found to be highly compliant with the Law Society LEXCEL quality mark standard. Compliance with the standard is also tested internally. 22 Sep 2017	 Likelihood Impact	4	31-Mar-2018	 Decreased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS 003a Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Risk reviews procedure in place and complied with	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 003b SMT review monthly High-Risk reports	SMT reviews high risk reports and agrees future strategy to manage the risk	SMT continue to review monthly high-risk reports	Michael Cogher	25-Sep-2017	31-Mar-2018
CCS 003d Review risk management procedures	Risk management procedures review and testing to ensure effectiveness and compliance	Risk procedures reviewed prior to LEXCEL audit which confirmed that the risk management procedures are effective and robust.	Michael Cogher	25-Sep-2017	31-May-2017 Completed

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<p>CCS 005 Ability to access critical ICT systems - business continuity</p> <p>04-Mar-2015</p>	<p>Cause - Critical ICT systems not available in the event of a significant incident. Event - System accessibility failure off site. Effect - key officers unable to identify current legal work and access key legal documents.</p>	<p>Likelihood</p>  <p>Impact</p>	<p>4</p>	<p>It is anticipated that the deployment of laptops and direct access facilitating more effective mobile working as part of the ICT transformation programme will facilitate a revised corporate approach to BCP.</p> <p>21 Sep 2017</p>	<p>Likelihood</p>  <p>Impact</p>	<p>2</p>	<p>31-Mar-2017</p>	<p>↔</p> <p>No change</p>
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Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS005b Monitor BCP arrangements	Monitor corporate BCP arrangements and review utilisation and procedures for agile/remote working	<p>Continue to monitor BCP effectiveness.</p> <p>Laptops now available across the division and phones with email access to managers have resulted in improved ability to work remotely in response to incidents. Further develop local departmental BCP arrangements</p>	Michael Cogher; Nick Senior	25-Sep-2017	31-Dec-2017

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
CCS 004 Successful operation of Oracle OPN 04-Mar-2015 Nick Senior	Cause - Oracle OPN replaced the Manhattan commercial property management and rent system Event - Continued operational difficulties caused by OPN Effect - If the application does not function as planned commercial income will not be invoiced on the due dates resulting in increased arrears	 Likelihood Impact	2	Oracle OPN continues to function though functional shortcomings continue to be evident and hinder the efficiency of the finance team 21 Sep 2017	 Likelihood Impact	2	31-Mar-2018	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CCS 004e Monitor OPN system performance	Monitor OPN system performance and report issues to super users group and escalate to Oracle Board	Quarterly rent runs generated effectively	Nick Senior	22-Sep-2017	31-Mar-2018

