CHB Corporate and departmental risks - detailed report
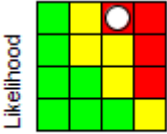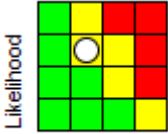
Report Author: Hayley Hajduczek
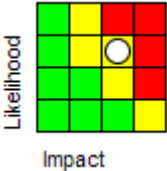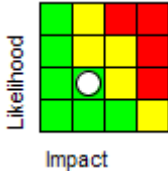
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Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR16 Information Security 22-Sep-2014 Peter Kane	**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.		16	Following key tasks have now been completed: • managing user privilege • remote access • User education and awareness. Following a penetration test by an external company the IT team have developed and implemented a fix for all identified security gaps. Work is continuing to complete the implementation of the action plan patching equipment and decommissioning aged and vulnerable equipment. This work will be completed by the 10th Dec 2017. **25 Oct 2017**		8	30-Apr-2018	

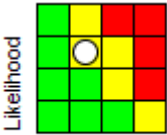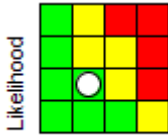| Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16b	For all major systems establish data owner and retention policy for information therein.	Paper was approved by Summit Group in December and is being progressed through the relevant Committee processes and project governance where relevant.	Sean Green	25-Oct-2017	30-Apr-2018
CR16h	Online training to be made available to Members following workshop in February 2016.	Induction training provided - Gary Brailsford Hart is supporting this risk to execute mitigating actions from plan in place.	Gary Brailsford-Hart	25-Oct-2017	30-Apr-2018
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	25-Oct-2017	30-Apr-2018

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CR19 IT Service Provision 14-Jul-2015 Sean Green	**Cause**: The whole Police IT Estate and parts of the Corporation are in need of further investment. **Event**: For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service. **Effect**: Loss of communications or operational effectiveness (may also lead to low staff morale). Possible failure of critical Corporation and Policing activities. Reputational damage.		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 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. **25 Oct 2017**		6	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. The LAN hardware has been procured. IT have awarded the contract for the LAN design, build and support. The WAN is slightly implementation is now underway.	Sean Green	25-Oct-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 will continue throughout 2017.	Sean Green	25-Oct-2017	31-Dec-2017
CR19e	This is the first phase of the revised project to fully replace ageing unsupportable networking hardware from the City and City Police's infrastructure.	Implementation phase is in progress.	Sean Green	25-Oct-2017	31-Mar-2018
CR19f	The full delivery of a new network for the Corporation and city Police.	The WAN work has started. Remediation of communications rooms underway. LAN hardware has been procured. In the process of recruiting a LAN services partner.	Sean Green	25-Oct-2017	31-Mar-2018

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CR23 Police Funding 21-Nov-2016 Peter Kane	**Cause:** Reduction in government funding and growing demand in Policing services leading to pressures for the City Fund -Police. **Event:** 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) **Effect:** City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium Term Financial Plan. Potential adverse reaction from business community to increased premium following significant rise in business rates in April 2017 in the City (following the government's revaluation exercise).		12	The Medium Term Financial Plan indicated a growing deficit in funding Police services £1.6m. Deloitte review into Police value for money and efficiency has been reported to Police and Finance Committees and indicates that further savings are possible. Police colleagues have identified short term savings of £400k and a wider response to medium term and long term opportunities are currently being developed. **30 Oct 2017**		4	31-Mar-2018	

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CR23a	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.	Chief Officer Cash Limited Budgets include a savings target of £1.2m against the non-pay budget of £29.3m. The force has managed to secure savings of £0.33m against Repair and Maintenance, Travelling Expenses, Tasking and Core Directorate Overtime Budgets; however, this currently falls short of the savings target by £0.87m.	Michelle King	30-Oct-2017	31-Mar-2018
CR23b	Exhaust the Police Reserves by 31 March 2018	The actual drawdown on reserves in 2016/17 was £0.6m, an improvement of £2m compared to the forecast position. Current anticipated year-end draw down in 2017/18 is £1.6m; leaving Reserve balance of £1886k.	Philip Gregory; Michelle King	30-Oct-2017	31-Mar-2018
CR23c	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.	Completed - The Deloitte review into Police value for money and efficiency has been completed and reported to Police Committee and Finance Committee. Police colleagues have prepared an action plan for quick wins identifying £400k of savings, which was agreed by Police Committee and Efficiency & Performance Sub Committee in September. Longer term actions are yet to be agreed. Police and Chamberlain's are currently discussing the size of the transformation team to lead the work. The Deloitte review identified potential further opportunities for savings through greater use of shared service- see separate action CR23e below.	Caroline Al-Beyerty; Alistair Sutherland	30-Oct-2017	31-Aug-2017
CR23d	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	30-Oct-2017	31-Mar-2018

CR23e	Efficiency and Performance Sub Committee commissioned a review of shared services.	The scope of the review is currently being agreed.	Caroline Al-Beyerty; Alistair Sutherland	01-Nov-2017	31-Dec-2017

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CHB FS001 Value for Money (VFM) 21-Nov-2016 Caroline Al-Beyerty; Peter Kane	**Cause**: The City Corporation needs to be able to demonstrate it is achieving value for money in all its areas of expenditure. **Event**: Reduced funding available to the City Corporation emphasises the need to use funds in a way that achieves value for money. **Effect**: City Corporation will be unable to demonstrably achieve progress on obtaining value for money, significantly impacting on both service delivery levels and reputation.		12	VFM challenge is now embedded in the business planning process with an annual self assessment of performance on VFM from service departments. Feedback from the pilot in DCCS will be used to provide guidance to support the process. The Peer Review process is now underway and is expected to complete by 31 March with outputs included in the business plans for department showing better alignment of activities to outcomes. A programme of VFM probes into particular service areas or topics will be drawn up in the next month. In response to areas identified during the service based review two probes have been commissioned. 1. A thematic review of the findings from the facilities management review, reported to this cttee and 2. An efficiency review of library services has recently commenced, following the policy decision not to reduce the number of libraries. **25 Oct 2017**		4	31-Mar-2018	

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CHB FS001b	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. This is included in the Business Planning advice going out in October to all department leads. A pilot of the self -assessment is being carried out by DCCS.	Mark Jarvis	25-Oct-2017	31-Dec-2017
CHB FS001c	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.	The pilot for the Chief Officer Peer Review has now been completed and the methodology has been refined for the wider roll out. Sessions began in September, with the intention of completing the Peer Review by March 2018. These sessions will help Chief Officers develop their business plans to make efficiency savings or generate income to help meet the annual 2% continuous improvement requirements of the Efficiency and Sustainability Plan and achieve better alignment of activities to the outcomes in the corporate business plan. An Efficiency and Sustainability Plan update paper will be reported to Efficiency and Performance Sub-Committee in November 2017. This paper will provide Members with an update on the Chief Officer Peer Review and the review of Central Risk items and how they support departments preparation for the annual 2% continuous improvement budget reductions from 2018/19. The outcomes of the Chief Officer Peer Review will be reported to Efficiency and Performance Sub-Committee in quarter 1 of the 2018/19 financial year.	Geoff Parnell	03-Nov-2017	31-Mar-2018
CHB FS001d	Build a programme of VFM probes into specific service or cross.	In response to areas identified during the service based review two probes have been commissioned. 1. A thematic review of facilities management review, reported to this cttee and 2. An efficiency review of library services has recently commenced, following the policy decision not to reduce the number of libraries.	Caroline Al-Beyerty	03-Nov-2017	31-Dec-2017

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CHB FS004 Management Information Provision 13-Jun-2017 Philip Gregory	**Cause:** Lack of relevant management information to Members, Chief Officers and budget holders results in delays to decision making or poor decision making. Knock on impact results in resources not being correctly prioritised. **Event:** Systems are not in place to support effective financial forecasting of revenue budgets and capital projects. **Effect:** processes for financial management fail to direct resources appropriately to priorities.		6	A project manager has been appointed to lead the development of management information in conjunction with the implementation of forecasting within Oracle. Progress is being made in defining the scope of management information required. **26 Oct 2017**		4	31-Mar-2018	▬

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CHB FS004a	Agree a corporate suite of management information dashboards to include in Departmental Business Plans.	Dashboards have been developed across consistent themes and in a house style for inclusion in Q2 departmental business plans. These are to be augmented by departmental specific metrics where desired.	Simon Whelan	23-Oct-2017	01-Feb-2018
CHB FS004b	Phased roll-out of PA (Projects) forecasting with finance teams taking the lead in providing training and support for project managers.	A baseline forecast has been established in Oracle for all projects as at 21st March 2017 and forecasting in Oracle has been rolled out corporate wide with first corporate forecast being used for medium term financial plan reporting to Members in November. Finance staff have provided hands on training for their project managers on forecasting. Chamberlain's will also be providing training in financial management of projects as part of the corporate project manager training being developed with the Town Clerks Project office. New project reports are being finalised by the capital team in conjunction with the Oracle team which will significantly improve financial management information.	Julie Smith	26-Oct-2017	31-Jan-2018
CHB FS004c	Phased roll-out of GL (Revenue) forecasting with finance teams taking the lead in providing training and support for budget managers.	Profiling is now BAU. Good progress has been made on forecasting with all but the Police Department having up to date forecasts for revenue budgets in Oracle. The deadline of end of November should be achievable. Regular revenue training sessions are being developed for all existing budget holders and new budget holders.	Julie Smith	26-Oct-2017	31-Dec-2017
CHB FS004d	Financial management information requirements to be harvested across the organisation with an aim of ensuring that managers have the information they need to make good quality decisions.	Following a series of meetings with finance business partners across the organisation, management information requirements have been collected and will be assessed, prioritised and resourced before being fed into delivery workplans.	Simon Whelan	23-Oct-2017	31-Dec-2017
CHB FS004e	Establish mechanisms to ensure that departmental management information practises are up to date and in line with current best practice.	Research on current best practice and the art of the possible is underway with an aim of ensuring that departmental management information practices and techniques are up to date.	Simon Whelan	23-Oct-2017	01-Feb-2018