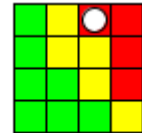
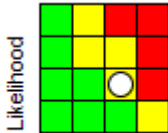



# CHB Detailed risk register by risk category

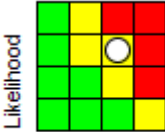
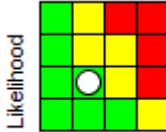

Report Author: Hayley Hajduczek

Generated on: 05 January 2018

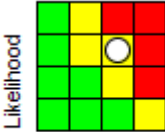
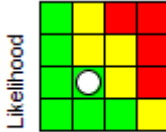



Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR16 Information Security</b>  22-Sep-2014  Peter Kane	<b>Cause:</b> Breach of IT Systems 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	16	Work is continuing to complete the implementation of the action plan. Patching of equipment and decommissioning aged and vulnerable equipment has been completed.  Following key tasks have now been completed: <ul style="list-style-type: none"> <li>• Patching regime reviewed;</li> <li>• Vulnerability assessment completed;</li> <li>• Incident management exercise;</li> <li>• Additional security awareness material purchased.</li> </ul> <b>02 Jan 2018</b>	 Likelihood Impact	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.	This is now being picked up with the GDPR ready project being led from the Comptroller team and IT team in the Corporation and the Information Management and Security team in the Police. Update reports on progress provided to Summit and IT Sub-Committee on a regular basis.	Sean Green	02-Jan-2018	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. Training for Officers and Members in 2018 now being developed.	Gary Brailsford-Hart	02-Jan-2018	30-Apr-2018
CR16i	The Development and implementation of more technical security infrastructure	Using a recognised Cyber security maturity model there is a dashboard being reported that shows via a RAG status 10 areas of focus to mitigate this risk with training, processes and tools being delivered that in combination will bring the risk to Amber as planned and Green by July 2018.	Sean Green	02-Jan-2018	30-Apr-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
<b>CR19 IT Service Provision</b>  14-Jul-2015 Sean Green	<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 Impact	12	Following the recent improvements to the corporate IT network and systems the Chamberlain agreed to reduce the risk score to an amber 12. It is likely that over the coming months the risk will be further mitigated to a green rating.  <b>02 Jan 2018</b>	 Likelihood Impact	4	30-Jun-2018	

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
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 and into early 2018. The LAN hardware has been procured. The remediation of IT communications rooms will be completed by the end of December 2018. IT have awarded the contract for the LAN design, build and support and the solution design is underway. The WAN implementation is now underway with BT.	Sean Green	02-Jan-2018	31-Mar-2018
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 is in progress and will be completed by April/May 2018.	Sean Green	02-Jan-2018	31-Mar-2018
CR19f	The full delivery of a new network for the Corporation and city Police.	The WAN work has started. Remediation of IT communications rooms are almost complete. LAN hardware has been procured. LAN design and build is underway.	Sean Green	02-Jan-2018	31-Mar-2018

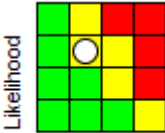
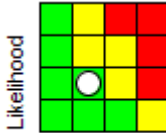

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR23 Police Funding</b>  21-Nov-2016 Caroline Al-Beyerty; Ian Dyson	<b>Cause:</b> Reduction in government funding and growing demand in Policing services leading to pressures for the City Fund -Police. <b>Event:</b> Reduction in government funding.Budget deficit forecast for next 5 years requiring action to balance the budget 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). <b>Effect:</b> Potential impact on security and safety in the City as need to make savings, prioritise activity, review funding City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium Term Financial Plan.from City and Business Rate Premium.	 Likelihood Impact	12	Deloitte Review on Future Demand and VfM identified significant savings opportunities. Plans are now being developed to deliver increased effectiveness and savings which will feed into 2018/19 budget and Medium Term Financial Plan and mitigate service impact.  <b>02 Jan 2018</b>	 Likelihood Impact	4	31-Mar-2018	

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
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 £0.7m against Repair and Maintenance, Travelling Expenses, Tasking and Core Directorate Overtime Budgets; however, this currently falls short of the savings target by £0.5m. Further details will be reported to Police Committee in the quarter 3 budget monitoring report.	Michelle King	02-Jan-2018	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 position is breakeven, utilising £1.5m of the POCA balances. No draw-down is forecast on the Police General Reserve, leaving a balance of £350k.	Philip Gregory; Michelle King	02-Jan-2018	31-Mar-2018
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	02-Jan-2018	31-Mar-2018
CR23e	Efficiency and Performance Sub Committee commissioned a review of shared services.	The scope of the review is currently being agreed and will be led by the Town Clerk. The timetable has slipped from the original anticipated deadline of 31 December 2017.	Caroline Al-Beyerty; Alistair Sutherland	02-Jan-2018	31-Dec-2017
CR23f	Implement the recommendations from the Deloitte review through the Change Programme being established by the Commissioner of Police	A Change Programme is being established to develop a revised Target Operating Model for CoLP to deliver greater effectiveness and financial stability. This will comprise a number of programme boards reporting to a Change Programme Oversight Group chaired by the Commissioner which then reports to Police Committee.	Alistair Sutherland	02-Jan-2018	31-Mar-2018

[illegible]

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB FS001b	VFM to be embedded in the Business Planning process, including an annual self—assessment of performance on	VFM challenge embedded in the Business Planning process with an annual self—assessment of performance on VFM by service departments. This was included in the Business Planning	Mark Jarvis	02-Jan-2018	31-Dec-2017

	VFM by service departments which highlights areas requiring improvement, open to scrutiny by Service Committees and Efficiency & Performance Sub-Committee.	advice which was circulated in October to all department leads. A pilot of the self -assessment has been carried out by DCCS and findings will be discussed by officers in January. Once discussion has taken place this action will be complete.			
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.	<p>The pilot for the Chief Officer Peer Review has now been completed and the methodology has been refined for the wider roll out made up of 3 additional groups. Sessions began in October 2017, 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.</p> <p>An Efficiency and Sustainability Plan update paper was reported to Efficiency and Performance Sub-Committee in November 2017. The paper provided 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.</p>	Geoff Parnell	02-Jan-2018	31-Mar-2018
CHB FS001d	Build a programme of VFM probes into specific service or cross.	<p>In response to areas identified during the service based review two probes have been commissioned.</p> <ol style="list-style-type: none"> <li>1. A thematic review of facilities management review, reported to the November Efficiency and performance Sub Cttee; and</li> <li>2. An efficiency review of library services is underway, following the policy decision not to reduce the number of libraries.</li> </ol> <p>An Efficiency and Sustainability Plan update paper was reported to Efficiency and Performance Sub-Committee in November 2017. The paper provided 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.</p>	Caroline Al-Beyerty	02-Jan-2018	31-Jan-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
<b>CHB FS004 Management Information Provision</b>  13-Jun-2017 Philip Gregory	<b>Cause:</b> 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. <b>Event:</b> Systems are not in place to support effective financial forecasting of revenue budgets and capital projects. <b>Effect:</b> processes for financial management fail to direct resources appropriately to priorities.	 Likelihood Impact	6	A project manager has been appointed to lead the development of management information in conjunction with the implementation of forecasting within Oracle. Good progress has been made in defining the scope of management information required and establishing delivery plans.  <b>03 Jan 2018</b>	 Likelihood Impact	4	31-Mar-2018	

Action no, Action owner	Description	Latest Note			Managed By	Latest Note Date	Due Date
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 and included in Q2 departmental business plans. These will be further refined in Q3. Financial information will be augmented by departmental specific metrics where desired.			Simon Whelan	03-Jan-2018	31-Jan-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 a corporate wide revised forecast entered in Oracle is being used for the medium term financial plan reporting to Members. 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	03-Jan-2018	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 and forecasting revenue budgets in Oracle is now BAU for all departments apart from the Police and part of the City Surveyor budgets that relate to works on behalf of other departments. Discussions are ongoing with the Police and changes to the coding structure to enable full City Surveyor forecasting will be implemented from 2018/19 budgets.			Julie Smith	03-Jan-2018	31-Mar-2018
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 are currently being assessed, prioritised and resourced before being fed into delivery workplans.			Simon Whelan	03-Jan-2018	28-Feb-2018
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 and fit for purpose.			Simon Whelan	03-Jan-2018	28-Feb-2018

