

CHB Detailed risk register by risk category

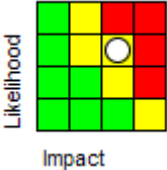
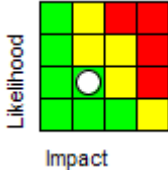

Report Author: Hayley Hajduczek

Generated on: 20 March 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
CR16 Information Security 22-Sep-2014 Peter Kane	<p>Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.</p> <p>Event: Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information.</p> <p>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.</p>	 Likelihood Impact	16	Following key tasks have now been completed: <ul style="list-style-type: none"> • Patching Microsoft and non-Microsoft estate weekly with RAG reports provided; • Devices not patched for more than 30 days not allowed to connect to the network until patching completed; • Plan to remediate vulnerability actions completed with remediation actions now started. 	 Likelihood Impact	4	31-Jul-2018	

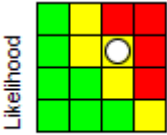
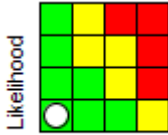

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16b	For all major systems establish data owner and retention policy for information therein.	This is now being picked up with the GDPR ready project being led from the Comptroller team and IT team in the Corporation 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	14-Mar-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. Dates for training to be agreed with Member Services and the IT Security Director.	Gary Brailsford-Hart	14-Mar-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 by April 2018 and Green by July 2018. Dedicated project manager will support the delivery of new Cyber protection solutions for the CoL and CoLP estates.	Sean Green	14-Mar-2018	30-Apr-2018

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CR19 IT Service Provision 14-Jul-2015 Sean Green	<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>		12	<p>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.</p> <p>14 Mar 2018</p>		4	30-Jun-2018	

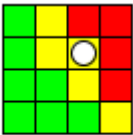
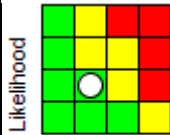

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CR19c	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Remediation to communication rooms completed and work to replace Wide Area Network 50% completed. Local area network equipment now being installed.	Sean Green	14-Mar-2018	31-May-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	14-Mar-2018	31-May-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 complete. LAN design completed. LAN implementation now started for CoL and CoLP.	Sean Green	14-Mar-2018	30-Jun-2018

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CR23 DRAFT Police Funding Gap 21-Nov-2016 Caroline Al-Beyerty; Ian Dyson	<p>Cause: Reduction in government funding and growing demand in Policing services leading to pressures for the City Fund -Police.</p> <p>Event: Reduction in government funding. Failure to deliver VfM savings. Budget deficit forecast for next 5 years requiring action to balance the budget</p> <p>Effect: 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.</p>	<p>Likelihood</p> <p>Impact</p>	16	<p>Despite savings target of £1.2m in 2018/19, the current medium term financial plan shows an ongoing gap of £4-5m per annum. This has not yet been resolved and the risk has become an issue. The recently launched Transformation Programme is expected to close the financial gap.</p> <p>28 Mar 2018</p>	<p>Likelihood</p> <p>Impact</p>	4	31-Mar-2019	

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CR23a	Deliver the savings programme for currently identified savings in 2018/19.	COLP has a plan in place to deliver on £1.2m savings for 2018/19 and continues to explore opportunities for continual improvement, both internally and through wider collaboration with the City Corporation. The details of the planned savings were reported to Efficiency and Performance Sub Committee in March.	Alistair Sutherland	28-Mar-2018	31-Mar-2019
CR23b	Medium Term Financial Plan - remodelling	Medium Term Financial Plan - remodelling	Philip Gregory; Michelle King	28-Mar-2018	31-Mar-2018
CR23c	A Transformation Programme is underway to develop a revised Target Operating Model for CoLP to deliver greater effectiveness and financial stability. The Programme comprises eight work strands.	The Deloitte short term recommendations or 'quick wins' are progressing. Initial savings from the 'quick wins' are being reinvested to create a core team. The next Transformation Board meets at the end of April to review progress on the transformation work streams.	Jane Gyford	28-Mar-2018	31-Mar-2019
CR23d	Consider increase in the business rates premium in future periods	Will be considered as part of the medium term financial planning for 2019/20.	Caroline Al-Beyerty	28-Mar-2018	31-Mar-2019

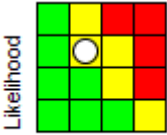
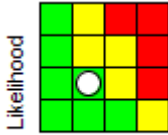

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CHB IT 022 Transformation - Benefits Realisation 25-Jan-2018 Kevin Mulcahy	<p>Cause : The principles and new ways of working including the internal Target Operating Model, 3rd party Service Operating Model and new Policies, as defined by the Transformation Programme, are not embedded into BAU processes within the internal and outsourced operating models.</p> <p>Event : CoL will not realise the benefits including savings from contracts and storage and a more effective service to the business with a focus on service management</p> <p>Effect</p> <ul style="list-style-type: none"> • Increased Revenue costs • Degradation of service • End user frustration • Unmanageable application estate • Failure to meet the business expectations from the £12m investment • Significant cost to bring the redesigned Technology Stack back to “as built” 	 <p>Likelihood</p> <p>Impact</p>	12	Phase 1 Transformation almost complete for Desktop transformation with new processes, policies and working practices implemented. Working through implementing new Operating Models for the IT in the Corporation and Agilisys. 14 Mar 2018	 <p>Likelihood</p> <p>Impact</p>	1	31-Dec-2018	

Action no, Action owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CHB IT 022a	2600 Officers working for the City of London Corporation now have Office 365, Windows 10, Skype for Business and One Drive a completely new way of collaborative and way of working that will start to help the organisation on benefits realisation.	2600 Officers working for the City of London Corporation now have Office 365, Windows 10, Skype for Business and One Drive a completely new way of collaborative and way of working that will start to help the organisation on benefits realisation.	Kevin Mulcahy	14-Mar-2018	30-Apr-2018
CHB IT 022b	Over 20 servers decommissioned that were part of the Email and Fileserver structure. Legacy email accounts being archived onto lower cost storage.	Over 20 servers decommissioned that were part of the Email and Fileserver structure. Legacy email accounts being archived onto lower cost storage.	Kevin Mulcahy	14-Mar-2018	30-Apr-2018

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CHB FS001 Value for Money (VFM) 21-Nov-2016 Caroline Al-Beyerty; Peter Kane	<p>Cause: The City Corporation needs to be able to demonstrate it is achieving value for money in all its areas of expenditure.</p> <p>Event: Reduced funding available to the City Corporation emphasises the need to use funds in a way that achieves value for money.</p> <p>Effect: City Corporation will be unable to demonstrably achieve progress on obtaining value for money, significantly impacting on both service delivery levels and reputation.</p>	 <p>Likelihood</p> <p>Impact</p>	12	<p>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.</p> <p>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.</p> <p>In response to areas identified during the service based review two VFM probes have been commissioned.</p> <p>1. A thematic review of the findings from the facilities management review, reported to the November Efficiency and Performance Sub Cttee; and</p> <p>2. An efficiency review of library services has recently commenced, following the policy decision not to reduce the number of libraries.</p> <p>19 Mar 2018</p>	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2018	

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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 was completed in July 2017 and the methodology was 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. The focus of these sessions is to discuss how each Chief Officer can make their departments more innovative, collaborative and agile. These sessions aim to help Chief Officers develop their business plans to make efficiency savings or generate income to help meet the annual 2% continuous	Geoff Parnell	19-Mar-2018	31-Mar-2018

		<p>improvement requirements of the Efficiency and Sustainability Plan and achieve better alignment of activities to the outcomes in the corporate business plan.</p> <p>As part of the Chief Officer Peer Review Chief Officers have been presenting their plans to address the 2% budget reductions to Summit Group and then Efficiency and Performance Sub-Committee. 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> <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 how they support departments preparation for the annual 2% continuous improvement budget reductions from 2018/19.</p> <p>A SBR monitoring paper was presented to Policy and Resources Allocation Sub-Committee in January 2018 which provided an update on all Departments with outstanding SBR savings. The key recommendation of the paper to reduce the City Surveyors SBR target by £300k to cover the unfunded Assistant Property Facility Managers posts was approved by Members. Future SBR reporting will now be reported in Efficiency and Sustainability Plan update papers.</p>			
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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.	 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 and delivering the requirement. The initial project is now largely complete and transitioning to BAU. Work in this area is currently on hold during the final accounts process. 19 Mar 2018	 Likelihood Impact	4	30-Sep-2018	

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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 31st March 2017 and a corporate wide revised forecast entered in Oracle is being used for the medium term financial plan reporting to Members. A review of the procedures took place with finance teams in February and it was agreed that we need to revise the templates for uploading forecasts to reduce the complexity for both finance and projects staff. We will have in the year period forecasts for large complex projects that need continual monitoring and yearly forecasts for less complex projects that are updated regularly. The Oracle team will be working on the changes required but due to resource constraints we are unable to have both annual and periodic forecasting ready for the next corporate forecast at the end of April. Both solutions should be ready by September 2018. Chamberlains have provided training slides for the Project Manager revised training course and met with the Trainer and Town Clerks to agree the key messages. Training sessions will begin in May 2018. The Oracle team have also provided training sessions on Oracle to new project managers. As there will be changes to the forecasting templates reports will need to be reviewed and worked upon to align the management information to the new processes.	Julie Smith	13-Mar-2018	30-Sep-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. Work in this area is currently on hold during the final accounts process.	Simon Whelan	19-Mar-2018	30-Sep-2018