



Code	CCS SMT 001		Title	Ability to recruit and retain competent legal staff		
Description	Cause - Private sector legal firms can offer higher remuneration packages Event - High turnover of legal staff Effect - Delivery of legal advice and documentation delayed, loss of income, assets exposed to higher risks					
Category	Legal	Approach	Accept (the costs of mitigation outweigh the benefits)			
Risk Level	Departmental	Risk Owner	Michael Cogher			
Strategic Aim	SA2 - To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2 - Maintaining the quality of public services whilst reducing our expenditure and improving our efficiency			
Department	Comptroller & City Solicitors	Committee	Establishment Committee			
Current Risk Assessment, Score & Trend Comparison			Target Risk Assessment & Score			
Likelihood	Possible	Likelihood	Possible			
Impact	Serious	Impact	Serious			
Risk Score	6	Risk Score	6			
Review Date	01-Oct-2015	Target Date	31-Dec-2015			
Latest Note	Recent HR review of Market Forces Supplements indicates that current levels should be maintained Staff are encouraged to take on more challenging work and training is provided. Recent recruitment exercise suggests market is increasingly challenging.					

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS001	Review MFS	MFS will be reviewed by HR at the next corporate review	Michael Cogher	01-Apr-2017	0%	To be reviewed when required
C&CS002	Monitor market conditions	Review workforce reports to monitor staff turnover		01-Jan-2016	0%	

Code	CCS SMT 002	Title	Loss of Information Assets
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Description	Cause - Inadequate checking of content before despatch, lack of adequate supervision, failure to follow agreed procedures Event - Loss of personal data and /or COL hardware Effect - severe financial penalty, reputation damaged, breach of confidentiality
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Category	Financial
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Michael Cogher

Strategic Aim	SA2 - To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.
Department	Comptroller & City Solicitors

Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Committee	Establishment Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	17-Sep-2015

Target Risk Assessment & Score	
Likelihood	Unlikely
Impact	Serious
Risk Score	4
Target Date	

Latest Note	Six monthly DPA audits are being carried out
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS 002 a1	Carry out periodic DPA audits	Latest DPA audit carried out in May 2015		29-Jan-2016	100%	Latest DPA audit completed May 2015

Code	CCS SMT 003	Title	Managing Legal Risk
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Description	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, clients loss of confidence in the legal service, reputation		
Category	Legal	Approach	Reduce (By appropriate remedial action)
Risk Level	Departmental	Risk Owner	Michael Cogher
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison			
Likelihood	Possible	Target Risk Assessment & Score	
Impact	Serious	Likelihood	Unlikely
Risk Score	6	Impact	Serious
Review Date	01-Oct-2015	Risk Score	4
Latest Note		Target Date	

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS003a	Staff undertake regular risk reviews	Each matter is risk assessed on receipt and marked as high risk where appropriate	Michael Cogher	04-Jan-2016	100%	Risk reviewed by SMT 23/06/2015
C&CS003b	SMT reviews risk data quarterly	SMT reviews quarterly legal risk and performance data to ensure legal matters are progressed in a timely fashion	Michael Cogher	01-Jan-2016	100%	SMT reviewed risks on 23/06/2015
C&CS003c	DMT review monthly High Risk reports	SMT reviews high risk reports and agrees future strategy	Michael Cogher	01-Jan-2016	100%	SMT reviewed risks on 23/06/2015

Code	CCS SMT 004	Title	Successful implementation of Oracle OPN
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Description	Cause - Oracle OPN is replacing the Manhattan commercial property management and rent system Event - Implementation of new system Effect - If the application does not function as planned and/or the data migrated from Manhattan is of poor quality there is a risk that commercial income will not be invoiced on the due dates.		
Category	Financial	Approach	Transfer (To a third party or insurer)
Risk Level	Departmental	Risk Owner	Martin Howe
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison		Target Risk Assessment & Score	
Likelihood	Unlikely	Likelihood	Unlikely
Impact	Major	Impact	Serious
Risk Score	8	Risk Score	4
Review Date	17-Sep-2015	Target Date	01-Oct-2015
Latest Note	2nd quarterly billing run was completed successfully on 14 September 2015.		

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS SMT 004a	Migrated data needs significant cleansing	Migrated data was poor in quality and impacted on accurate billing and reporting	Martin Howe	01-Oct-2015	100%	Data continues to be cleansed and updated
C&CS SMT 004b	Adjust migrated accounts to ensure accurate billing	Certain billing information requires changing to ensure that accounts are billed in accordance with the legal agreements	Martin Howe	01-Oct-2015	100%	Billing adjustments are continuing as issues arise

C&CS SMT 004c	Document procedures to generate knowledge base	Very little documentation exists as user manuals. New documentation needs to be produced to act as a definitive user guide and single reference point	Martin Howe	01-Nov-2015	55%	Drafting of process documentation is progressing
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Code	CCS SMT 005	Title	Ability to access critical system at disaster recovery site
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Description	Cause - critical system (KMX) was not available during last business continuity exercise Event - KMX was not working in the Recovery Suite and critical information about the status of matters and records could not be accessed Effect - Unable to identify current legal work and access key legal documents
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Category	Legal
Risk Level	Departmental
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.
Department	Comptroller & City Solicitors
Current Risk Assessment, Score & Trend Comparison	
Likelihood	Likely
Impact	Serious
Risk Score	8
Review Date	01-Oct-2015

Approach	Transfer (To a third party or insurer)
Risk Owner	Graham Bell
Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Committee	Establishment Committee
Target Risk Assessment & Score	
Likelihood	Rare
Impact	Serious
Risk Score	2
Target Date	04-Mar-2016

Latest Note	Still awaiting next business continuity exercise to test critical system
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS 005a	Chamberlains IS Division must provide access at the next BC test	The Chamberlains IS Division must provide access to critical systems at business continuity exercises	Martin Howe	31-Dec-2015	0%	still awaiting next business continuity exercise to test critical application

Code	CCS SMT 006	Title	Timely access to fully functioning office environment in the event of displacement
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Description	Cause - Disaster resulting in inability to use the North Block Event - immediate inability to continue to use the North Block as offices Effect - legal work would not be progressed or completed, delays for clients and delivery of projects and other services		
Category	Legal	Approach	Transfer (To a third party or insurer)
Risk Level	Departmental	Risk Owner	Peter Bennett
Strategic Aim	SA2 -To provide modern, efficient and high quality local services and policing within the Square Mile for workers, residents and visitors with a view to delivering sustainable outcomes.	Key Policy Priority	KPP2- Maintaining quality of our public services whilst reducing our expenditure and improving our efficiency
Department	Comptroller & City Solicitors	Committee	Establishment Committee
Current Risk Assessment, Score & Trend Comparison			
Likelihood	Possible	Target Risk Assessment & Score	
Impact	Major	Likelihood	Unlikely
Risk Score	12	Impact	Minor
Review Date	01-Oct-2015	Risk Score	2
Latest Note		Target Date	

Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
C&CS SMT 006a	A published strategy or plan needs to be agreed	The CO requires a tested plan/strategy that would enable departments to move to alternative office accommodation in a timely fashion in the event that the North Wing is out of action	Michael Cogher	01-Apr-2015	0%	-- enter new status update --