

# Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley  
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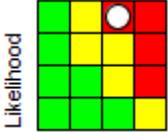
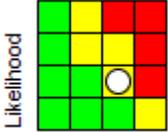


Rows are sorted by Risk Score

| 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 |
|--------------------------------------|---|-----------------------------|----|---|----------------------------|----|-------------|-------------------------------------|
| CR24<br>Operational Security         | <p><b>Cause:</b> Inadequate, poorly maintained or time expired security infrastructure; lack of security culture within the organisation; poor training or organisation of staff; insufficient staff.</p> <p><b>Event:</b> Security of an operational property is breached.</p> <p><b>Effect:</b> Unauthorised access to building by criminals/protestors/terrorists; disruption of business/ high profile events; reputational damage; injury or potential loss of life amongst staff or members of the general public</p> | <br>Likelihood<br>Impact    | 24 | <ul style="list-style-type: none"> <li>•HVM Works – August 2018 – February 2019 – On track.</li> <li>•Guildhall Yard: Started on the 13th November. Currently under construction. Plan to complete by February or earlier subject to archaeology.</li> <li>•Basinghall: 95% completed on Basinghall Street moving bollards. The UPS unit in the City Centre is located temporarily until CoL (electrics) installs a permanent non switch supply. All the bollards and rising barriers in the Yard (Basinghall, King Street and Aldermanbury) are to be controlled from one unit rather than 3 units in the Control Room.</li> </ul> | <br>Likelihood<br>Impact   | 16 | 30-Apr-2019 |                                     |

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| 07-Jun-2017<br>Peter Lisley |  |  |  | <ul style="list-style-type: none"> <li>•Members Ramp: The existing blockers have been successfully removed. The installation is planned for the 3rd January to 12th January under complete closure.</li> </ul> <b>10 Dec 2018</b> |  |  |  | Constant |
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| Action no | Action description  | Latest Note  | Action owner                       | Latest Note Date | Due Date    |
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| CR24a     | Deliver a programme of security infrastructure enhancements         | Governance in place, monitored through Strategic Security Board. DBE have taken over delivery of Guildhall HVM and Warwick Square at CCC, works commenced and designs in place. Cross Cutting work has commenced, BBM and ASF completed at Mansion House and CCC nearly completed.   | Paul Wilkinson                     | 18-Oct-2018      | 30-Apr-2019 |
| CR24b     | Mitigating risk of vehicle borne attacks across Corporation estate. | Good strategic and tactical grip established with Police and key stakeholders. HVM work now started at Barbican and St Paul's in phase one of mitigation to the public from a vehicle borne Terrorist attack. There is phased works in place for the rest of this calendar year. There is future planning and clear audited mitigation meetings with CoL and CoLP.   | Carolyn Dwyer;<br>Paul Wilkinson   | 18-Oct-2018      | 30-Apr-2019 |
| CR24e     | Protecting Guildhall for major events by installing HVM.            | <ul style="list-style-type: none"> <li>•HVM Works – August 2018 –February 2019 – On track.</li> <li>•Guildhall Yard: Started on the 13th November. Currently under construction. Plan to complete by February or earlier subject to archaeology.</li> <li>•Basinghall: 95% completed on Basinghall Street moving bollards. The UPS unit in the City Centre is located temporarily until CoL (electrics) installs a permanent non switch supply. All the bollards and rising barriers in the Yard (Basinghall, King Street and Aldermanbury) are to be controlled from one unit rather than 3 units in the Control Room.</li> <li>•Members Ramp: The existing blockers have been successfully removed. The installation is planned for the 3rd January to 12th January under complete closure.</li> </ul> | Carolyn Dwyer;<br>Richard Woolford | 10-Dec-2018      | 28-Feb-2019 |

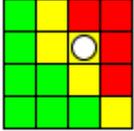
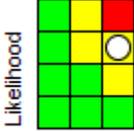
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| CR16<br>Information Security<br><br>22-Sep-2014<br>Peter Kane | <p><b>Cause:</b> Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.</p> <p><b>Event:</b> Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information.</p> <p><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 2018. Incur a monetary penalty of up to £500,000. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.</p> |  <p>Likelihood</p> <p>Impact</p> | 16 | <p>This risk will remain at Red until January 2019 when key security projects will be completed, and the 10 Steps maturity model had reached a level 4.</p> <p>The team are on track to reduce this risk to Amber in January.</p> <p><b>27 Nov 2018</b></p> |  <p>Likelihood</p> <p>Impact</p> | 8 | 31-Jan-2019 | <br><br>Constant |

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| CR16k     | Final stages of completing IT security projects which will mean that we can assure Members that the City of London Corporation has implemented all the national government recommended security practices and technology achieving a maturity level of 4. | IT Security projects on track for completing by year end to enable the risk to be updated to Amber as planned. | Gary Brailsford-Hart | 06-Dec-2018      | 04-Feb-2019 |



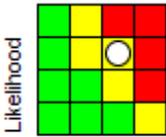
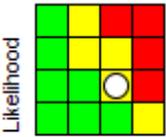
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|       |  | loaded onto the system. A range of tactical mitigations to this deficit, currently estimated to save c.£3m, are being worked up for delivery over the remaining months of the financial year.   |               |             |             |
| CR23b | Medium Term Financial Plan   | An updated MTFP was presented to the December Police Committee. This showed a significant worsening of the in-year and cumulative (unmitigated) deficits, rising to £19.5m by 2023-24. Since then the draft Police Settlement has been received which improves the 2019/20 deficit from £11.8m to £8.7m and the 2023-24 position deficit to £19.5m (£79.4m cumulative deficit across MTFP period). CoLP has embarked on developing mitigation strategies, including current year tactical savings along with indicative savings arising from the Transform programme. The Police Authority's response to the COLP financial position will be considered by the informal RASC meeting with Service Cttee Chairmen as part of budget setting and agreeing the medium-term financial plan.   | Alistair Cook | 19-Dec-2018 | 31-Mar-2019 |
| CR23c | A Transform 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. | <p>The Deloitte short term recommendations or 'quick wins' have been realised and are funding the core transformation project team.</p> <p>Transform workshops and service catalogue build has reduced the service strand to 6, plus the CoLP Corporate Plan.</p> <p>43 Transform Associates (volunteers) have been identified by the CoLP. Profiling their utilisation is underway.</p> <p>There remains a resourcing pressure within Transform programme team, as all strands' activity is being undertaken in the business with the competing demand of operational policing. The Programme management remains the central support hub, however requirement for business analytics and project management are a gap for the demand within the programme.</p> <p>Cashable savings have a high confidence level to £1.6m end of year.</p> <p>The 'as is' cataloguing is complete and 'to be' services are now being profiled into the service catalogue as the strands move into high level design.</p> <p>Baselining has just been completed and has been utilised to profile the current workforce against the Transform work.</p> <p>The Resolution Centre is to go live 'soft launch' in January 19, with a hard launch in April 19 planned.</p> <p>Profiling of low, med, high confidence level of savings within Transform has taken place, and potential savings of £5.6m will provide a target at the close of the MTFP.</p> <p>A Target Operating Model will be informed post high level design work and will be discussed in June 19 to then progress detailed design and build a future timeline for implementation</p> | Jane Gyford   | 19-Dec-2018 | 31-Mar-2019 |

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|       |   | against the 2 year lifetime of Transform and where required, into Continuous Improvement work and beyond to take into account the Policing 2025 vision, the Secure City Programme and The City Accommodation Programme.  |                     |             |             |
| CR23d | Consider increase in the business rates premium in future periods | Consider contribution levels from City Fund/ City's Cash as part of financial planning and budget setting for 2019/20, measures could include increasing the business rate premium, ongoing support for capital project shortfalls, or direct contribution from City Fund or City's Cash to support additional Policing service demands. | Caroline Al-Beyerty | 19-Dec-2018 | 31-Mar-2019 |

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| <b>CR01 Resilience Risk</b><br><br>20-Mar-2015<br>John Barradell | <b>Cause</b> - Lack of appropriate planning, leadership and coordination<br><b>Event</b> - Emergency situation related to terrorism or other serious event/major incident is not managed effectively<br><b>Effect</b> - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business. | <br>Likelihood<br>Impact | 12 | IT are still undergoing work to re-locate servers from GJR to another location. Network upgrade work and upgrading bandwidth is progressing across the corporation. Once this has been completed, we will be able to carry out resilience tests. This is currently with IT services Matt Gosden. Progress is continuing with a list of critical software applications that the IT team are looking to benchmark against RTO as well as migrating telephony systems and other IT systems<br><br><b>04 Dec 2018</b> | <br>Likelihood<br>Impact | 12 | 30-Apr-2019 | <br><br>Constant |

| Action no | Action description  | Latest Note  | Action owner | Latest Note Date | Due Date    |
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| CR01D     | Working with the IS division, remove potential single points of failure from business continuity processes. | Telephony systems have now been upgraded to VoIP.<br><br>Following the LAN and WiFi upgrade work to many of the City Corporation's sites, the IT team will be making a significant change to the connectivity between our data centres and | Gary Locker  | 13-Nov-2018      | 01-Jan-2019 |

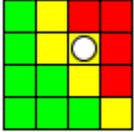
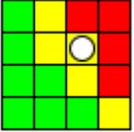
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|       |  | Guildhall. This is one of the final elements of the comprehensive upgrade of our network. These have been continually delayed by external contractors. Latest suggestions indicate that These changes will take place on Tuesday 13 November 19.00 – 22.00. |             |             |             |
| CR01H | To provide a larger Capability of Chief Officers & Senior Managers to strategically & tactically lead during a Major Incident impacting the City   | May training delivered, further training in development process 19th Feb 2019 for Col senior staff  | Gary Locker | 04-Dec-2018 | 19-Feb-2019 |
| CR01L | Assurance process with Cabinet Office College Provide refresher and initial training for Col staff, this training intended to increase knowledge to ensure BC plans are able to support the Col maintain its business during a major incident, provide an in-depth independent oversight of the Col business impact analysis, identifying its most critical business areas | BC assurance process and training completed in line with the date above, recommendations now to be allocated and will form part of the BC refresh programme   | Gary Locker | 04-Dec-2018 | 30-Apr-2019 |
| CR01M | process, training, call out process to strengthen the City capability and resilience in responding to major incident and complying with the wider London boroughs standardisation programme  | All staff volunteer major incident awareness day completed for all roles, LALO, CRISIS STAFF,<br><br>BECC STAFF Further training to be delivered as part of an action plan to be developed in line with London standardisation training                     | Gary Locker | 04-Dec-2018 | 30-Apr-2019 |
| CR01N | to increase City capability and resilience in also supporting wider London boroughs during major incident response, Local Emergency Control Centres, Emergency centres as part of a wider humanitarian   | All staff awareness day completed 1/11/18 further training part of action plan delivery set early 2019  | Gary Locker | 04-Dec-2018 | 30-Apr-2019 |

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| <b>CR02 Loss of Business Support for the City</b> | <p><b>Cause</b> - The City Corporation's actions to promote and support the competitiveness of the business City do not succeed.</p> <p><b>Event</b> - The City's position as the world leader in international financial services is adversely affected</p> <p><b>Effect</b> - The City loses its ability to attract and retain high value global business activity, both as a physical location and in mediating financial and trade flows; the City Corporation's business remit is damaged and its perceived relevance is diminished. Reputational damage to the City</p> |  <p>Likelihood</p> <p>Impact</p> | 12 | <p>A draft deal has been agreed between the UK and EU, which will now be voted on in Parliament. Whilst it isn't certain the Withdrawal Agreement will be approved, it is notable progress a draft text has been produced</p> <p>UK regulatory authorities have announced unilateral action to</p> |  <p>Likelihood</p> <p>Impact</p> | 8 | 30-Apr-2019 |  |

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| 22-Sep-2014<br>Damian<br>Nussbaum | as a place to do business and to Corporation ability to govern effectively |  |  | mitigate the disruption to financial services in the event of “No Deal”. Whilst political statements for EU 27 are encouraging, reciprocal action needs to be taken by EU27 regulators.<br><b>05 Dec 2018</b> |  |  |  | Constant |
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| CR02C     | City Corporation providing opportunities for informing the debate on the terms of Brexit, and representing the views of the financial and professional services sector | Given the Government’s preferred model for financial services access to the EU27 is the Equivalence regime, we are working with the sector to establish the impact on market access, and what improvements can be made to the regime. This will focus on the regime’s processes. Whilst Equivalence is not our preferred model, we will make the case for improved Equivalence. Businesses are preparing for future access on the basis of Equivalence or No Deal. We are working with colleagues in other departments to brief policy makers on industry views on cliff-edge issues and future relationships. | Damian Nussbaum | 05-Dec-2018      | 31-Dec-2018 |
| CR02H     | Work on initiatives which ensure London is at the forefront of innovation in financial and professional services   | We have actively contributed to UK Government led initiatives with other markets on FinTech. A new Green Finance Institute will be established by the City Corporation in partnership with UK Government. A new Cyber strategy has been agreed with the City Police, and new work programmes on infrastructure and development finance are underway. Supporting the developing programme of work on digital skills.  | Damian Nussbaum | 05-Dec-2018      | 21-Mar-2019 |

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| <b>CR09 Health and Safety Risk</b><br>22-Sep-2014<br>Chrissie Morgan | <p><b>Cause</b> - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p><b>Event</b> - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p><b>Effect</b> - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p> |  <p>Likelihood</p> <p>Impact</p> | <p>12</p> | <p><b>HSW Policy</b> - Agreed by Establishment Committee 03.12</p> <p><b>07 Dec 2018</b></p> |  <p>Likelihood</p> <p>Impact</p> | <p>12</p> | <p>31-Dec-2018</p> | <br><p>Constant</p> |
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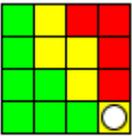
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| CR09F     | Deliver a series of health and safety audits and compliance checks to provide corporate assurance that the organisation is being managed safely | Inspections continuing                                 | Justin Tyas  | 07-Dec-2018      | 31-Dec-2018 |
| CR09G     | To deliver a programme of training sessions for Chief Officers and their reports  | The programme of training is currently being delivered | Justin Tyas  | 07-Dec-2018      | 31-Dec-2018 |

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| <b>CR21 Air Quality</b><br>07-Oct-2015<br>Jon Avern | <p><b>Cause:</b> Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short-term exposure to nitrogen dioxide.</p> <p><b>Event:</b> Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p><b>Effect:</b> The consequences both acute and chronic may include:<br/>           An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services).<br/>           An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers).<br/>           Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits.<br/>           Persistent poor air quality may affect the longer-term health of the City population.<br/>           Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p> |                             | 12 | No change from previous review<br><b>17 Dec 2018</b> |                            | 6 | 31-Dec-2020 | <br>Constant                        |

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| CR21 001e | Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra-Low Emission Zone. | Ultra-low emission vehicle street pilot planned for April 2019. Draft Transport Strategy details a range of actions to reduce emissions from vehicles including zero emission zones from 2020 | Jon Avern    | 03-Dec-2018      | 31-Dec-2019 |

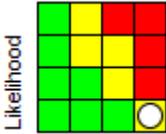
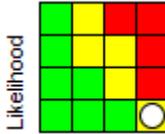


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| CR26a     | Ensure that appropriate Brexit related risks are identified, assessed, mitigated recorded on departmental risk registers | £2m contingency fund being set up for Brexit -to be agreed at the forthcoming P&R Departmental Brexit risks to be added to service committee agenda on standing items<br>Departmental risks now identified and added to risk registers  | Simon Latham | 11-Dec-2018      | 29-Mar-2019 |
| CR26b     | Progress on all departmental Brexit risks and their mitigations be reported monthly to Summit Group                      | <ul style="list-style-type: none"> <li>• Brexit Risk now standing item on all key Cttee agendas</li> <li>• Weekly 'Brexit Planning' meeting now taking place, chaired by TC (attended by Peter Kane, Andrew Carter, Chrissie Morgan, Jon Averbs, Paul Double, Damian Nussbaum, Angela Roach, Simon Latham)</li> <li>• Work strands commissioned on financial modelling, adult social care provision, Corp staffing, port health issues</li> </ul> | Simon Latham | 06-Dec-2018      | 29-Mar-2019 |

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| <b>CR10 Adverse Political Developments</b> | <p><b>Cause:</b> Policy issues that may compromise the City's operation as an international financial marketplace to which the City Corporation's functions are aligned; other financial services issues that make the City Corporation vulnerable to political criticism; local government proposals that call into question the justification for the separate administration of the Square Mile; overarching political hostility.</p> <p><b>Event:</b> Changes in international relationships particularly those with the EU; reputational questions related to financial institutions; local government changes in London; increase in political hostility to the Corporation.</p> <p><b>Impact:</b> Damage to the City's ability to put its case nationally and internationally and to the City's standing as a dedicated international financial marketplace. The City of London Corporation would be compromised if the City's position as a world leading financial and professional services centre were undermined. Loss of City Corporation functions as a result of adverse attitudes</p> | <p>Likelihood</p>  <p>Impact</p> | 8 | Constant attention is given to the form of legislation affecting the City Corporation and the broader City, and any remedial action pursued. Making known the work of the City Corporation in the financial sphere among opinion formers, particularly in Parliament and central Government, is also part of the apparatus by which the City's voice is heard and by which the Corporation is seen to be "doing a good job" for London and the nation for a crucial sector of the economy; the Brexit issue is the foremost consideration at the present time. The same approach is replicated in respect of professional services; the digital economy; arts and culture; and other activities undertaken by the City Corporation. | <p>Likelihood</p>  <p>Impact</p> | 8 | 31-Dec-2018 |  |

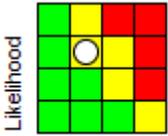
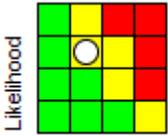
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| 22-Sep-2014<br>Paul Double | towards the Corporation. |  |  | 06 Nov 2018 |  |  |  | Constant |
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| CR10a     | Monitoring of Government legislation and proposed regulatory changes.   | Relevant Bills in the Government's legislative programme will be identified and City Corporation departments alerted to issues of potential significance as the measures are introduced in the new Session. Action taken through negotiation with departmental officials or amendments tabled in Parliament as required. The legislative consequences of Britain leaving the EU as they may affect the Corporation and the City more generally as an international financial centre are a particular focus.  | Paul Double  | 29-Oct-2018      | 31-Dec-2018 |
| CR10b     | Provision of information to Parliament and Government on issues of importance to the City.  | Briefing has been provided for parliamentary debates including on Brexit, air quality, immigration, housing, planning, the creative industry, trade and investment, apprenticeships, economic crime, Fintech and broadband.  | Paul Double  | 29-Oct-2018      | 31-Dec-2018 |
| CR10c     | Engagement with key opinion informers in Parliament and elsewhere. Programme of work to monitor and respond to issues affecting the reputation of the City Corporation. | Liaison with the City's MP and other MPs, Peers and Select Committee of both Houses on matters of importance to the City, including increased engagement on Brexit-related issues. Working with other organisations, including the Financial Markets Law Committee, to analyse the legal framework following exit from the EU. Continuing engagement on devolution in London and liaison with London Councils and Central London Forward on the application of devolution to the London boroughs and the City, either directly from Central Government or the Mayor. | Paul Double  | 29-Oct-2018      | 31-Dec-2018 |

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| <b>CR17 Safeguarding</b><br><br>22-Sep-2014<br>Andrew Carter | <b>Cause:</b> Not providing appropriate training to staff, not providing effective management and supervision, poor case management<br><b>Event:</b> Failure to deliver actions under the City of London' safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue<br><b>Effect:</b> Physical or mental harm suffered by a child or adult at risk, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted | <br>Likelihood | 8 | A Corporate audit on Safeguarding has now been commissioned and is in the planning stage.<br><br>The results of the Ofsted inspection of Children Services, which took place in October are due to be published on 16 November 2018.<br><br><b>13 Nov 2018</b> | <br>Likelihood | 8 | 31-Mar-2019 | <br><br>Constant |

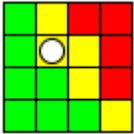
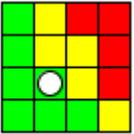
| Action no | Action description   | Latest Note  | Action owner                      | Latest Note Date | Due Date    |
|-----------|--|--|-----------------------------------|------------------|-------------|
| CR17o     | A review is being conducted into the safeguarding arrangements within the independent schools within the City of London. It is anticipated that the report will be available at the start of December. If the report makes recommendations these will be implemented within agreed timescales.   | Visits to all GSMD sites have been completed and action plans have been completed. Findings from the visits will be reported to the GSMD Board in the first term of the new academic year 2018/19.   | Andrew Carter                     | 03-Oct-2018      | 31-Dec-2018 |
| CR17p     | The new Ofsted Safeguarding framework will be launched in 2018. This replaces the previous Safeguarding Inspection Framework (SIF) which the CoL received a judgement of Good. The CoL CCS will need to respond to the new framework arrangements in readiness for future safeguarding inspection of Children and Families Early help and Social Care. | The result of the OFSTED inspection which took place in October is due to be published on Friday 16 November 2018.   | Chris Pelham                      | 13-Nov-2018      | 31-Mar-2019 |
| CR17q     | A review is being carried out into the business continuity arrangements for the staff providing the out of hours social care service. Following the review, a detailed and clear protocol for addressing issues regarding connectivity to the City of London Social Care system issues will be developed.  | There have been some issues with the Out of Hours Social Care service being able to connect to the City of London Social Care System and work is being undertaken to address the issue. A temporary solution has been put in place and the IT team at the providers is working towards a permanent resolution. A review is being undertaken and a protocol for addressing connectivity issues will be developed. | Hasna Begum;<br>Sharon McLaughlin | 12-Nov-2018      | 31-Dec-2018 |

|       |  |   |                   |             |             |
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| CR17r | A raising awareness campaign is being planned and will be launched shortly. This will cover education and early years settings and will include the role of the Local Authority Designated Officer and safeguarding enquiries. | A raising awareness campaign around Safeguarding and the role of the LADO within the Education Sector will take place during the current academic year. The campaign will include briefing sessions for staff in the sector and a conference. | Theresa Shortland | 12-Nov-2018 | 31-Jul-2019 |
|-------|--|---|-------------------|-------------|-------------|

| 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>CR20 Road Safety</b>              | <p><b>Cause:</b> Limited space on the City's medieval road network to cope with the increased use of the highway by vehicles and pedestrians / cyclists within the City of London. Interventions &amp; legal processes take time to deliver</p> <p><b>Event:</b> The number of casualties occurring in the City rises instead of reducing.</p> <p><b>Effect:</b> The City's reputation and credibility is adversely impacted with businesses and/or the public considering that the Corporation is not taking sufficient action to protect vulnerable road users; adverse coverage on national and local media</p> |  <p>Likelihood</p> | 6 | <p>The draft City Transport Strategy was approved for consultation by the Planning and Transport Committee in October 2018.</p> <p>The Road Danger Reduction and Active Travel (RDR) Plan was approved for implementation by the Planning and Transportation Committee on 20 November 2018.</p> <p>The Be Brake Ready campaign trialled a range of interventions over the course of 2017/18. The follow up survey has been deferred to Spring 2019 to avoid distracting from other consultations taking place, such as the Transport Strategy and the Local Plan.</p> <p>The RDR Plan proposes a number of behaviour change, enforcement, engagement and engineering initiatives that support safer travel by active modes (walking and cycling). It aims to enable the City to meet the Vision Zero objectives outlined in the Mayor's Transport Strategy, whereby the annual number of people killed or seriously injured (KSI) in traffic incidents is zero by 2041.</p> |  <p>Likelihood</p> | 6 | 31-Dec-2019 |  |

|                              |  |  |             |  |  |  |          |
|------------------------------|--|--|-------------|--|--|--|----------|
| 23-Oct-2015<br>Carolyn Dwyer |  |  | 06 Dec 2018 |  |  |  | Constant |
|------------------------------|--|--|-------------|--|--|--|----------|

| Action no | Action description  | Latest Note   | Action owner | Latest Note Date | Due Date    |
|-----------|---|---|--------------|------------------|-------------|
| CR20g     | Behaviour Change Campaign to address ‘inattention’. The process will be (1) use focus groups to identify options; (2) conduct attitudinal survey of road users; (3) prepare campaign delivery plan; (4) deliver campaign; (5) evaluate and report to Q4 2018/19.  | The Be Brake Ready campaign trialled a range of interventions over the course of 2017/18. The Queen Street camera study showed that a combination of signage and event marshals, succeeded in slowing down the average speed of cyclists by just over 1 mph. A road user attitudinal survey to monitor changing attitudes to road danger, was taken in October 2017 to set a baseline but the follow up survey has been deferred to Spring 2019 to avoid distracting from other consultations taking place, such as the Transport Strategy and the Local Plan.  | Zahur Khan   | 03-Dec-2018      | 31-Mar-2019 |
| CR20k     | The Road Danger Reduction and Active Travel plan 2018 – 2023 (RDR Plan) aims to meet the Vision Zero objectives outlined in the Mayor’s Transport Strategy, whereby the annual number of people killed or seriously injured (KSI) in traffic incidents is zero by 2041.<br><br>To meet this challenging target the plan proposes a number of behaviour change, enforcement, engagement and engineering initiatives that support safer travel by active modes (walking and cycling), whilst reducing road risks at source. | The draft City Transport Strategy is currently being consulted upon. Amongst the various initiatives, this proposes policies to:<br>- reduce the volume of traffic and congestion.<br>- reduce the speed limit to 15mph<br>- introduce timed deliveries outside main peak congestion periods<br><br>These will assist the City in reducing the risk of conflict between users of the highway and reduce accident related casualties.<br><br>The City also continues to lobby TfL to take positive action to reduce highway conflicts and road accidents on their network, within the City of London boundaries. | Zahur Khan   | 06-Dec-2018      | 31-Dec-2023 |

| 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  |
|---|--|--|----------|---|---|----------|--------------------|--|
| <p><b>CR25 General Data Protection Regulation Project phase 2</b></p> <p>01-Dec-2017<br/>Michael Cogher</p> | <p>Cause: Inadequate departmental systems and procedures are in place which meet the additional requirements of GDPR legislation.</p> <p>Event: CoL is unable to comply with GDPR requirements - poor, non-secure and non-compliant processing of personal data.</p> <p>Effect: CoL exposed to adverse publicity, reputational damage, financial penalties imposed by the Information Commissioners Office. Increased volume of Subject Access Requests.</p> | <p>Likelihood</p>  <p>Impact</p> | <p>6</p> | <p>1. Significant progress has been made by the GDPR Project Team toward delivering phase 2 of the GDPR compliance project, it is anticipated that with the support of departmental AIN reps and management teams' actions CR25g to CR25k will have been delivered by 31 December. CR25i is an IT project, will require a funding bid following receipt of costs from suppliers.</p> <p>2.A further GDPR audit by Mazars is planned for January 2019 the findings of which will inform a review of the risk rating and its status as a corporate risk.</p> <p>3.Following the delivery of the GDPR compliance project phase 2 on 31.12.2018 departments will be responsible for compliance and management of GDPR within their sphere of activity and will be advised and supported by the Information Compliance Team. Certain centralised activities - communication, training, advice, guidance, auditing, monitoring and reporting will be managed and delivered by the Information Compliance Team.</p> <p>14 Nov 2018</p> | <p>Likelihood</p>  <p>Impact</p> | <p>4</p> | <p>31-Dec-2018</p> | <p></p> <p>Constant</p> |

| Action no | Action description   | Latest Note   | Action owner                | Latest Note Date | Due Date    |
|-----------|--|---|-----------------------------|------------------|-------------|
| CR25g     | <ul style="list-style-type: none"> <li>1. Report to Summit Group</li> <li>2. report to Audit &amp; Risk Committee</li> <li>3. Report to IT sub-committee</li> <li>4. GDPR Project Team meetings</li> </ul>   | <ul style="list-style-type: none"> <li>• Project meetings held bi-weekly are effectively monitoring project outputs</li> <li>• Report to Summit October 2018</li> <li>• Reported to Audit &amp; Risk Committee 06.11.18</li> <li>• Reported to IT sub-committee 02.11.18</li> </ul>   | Michael Cogher              | 14-Nov-2018      | 31-Dec-2018 |
| CR25h     | <ul style="list-style-type: none"> <li>• Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule.</li> <li>• GDPR compliance team to advise and review departmental retention schedules and liaise with departmental AIN representatives on required improvements.</li> </ul> | Eight departments have responded supplying full departmental records retention schedules five are still outstanding   | Michael Cogher              | 15-Nov-2018      | 31-Oct-2018 |
| CR25i     | <ul style="list-style-type: none"> <li>• Investigation of use of meta compliance tool</li> <li>• If 1 unsuccessful create audit template for departments to complete</li> <li>• GDPR compliance Team review returns and advise departments on non-compliance issues</li> </ul>   | <ul style="list-style-type: none"> <li>• Departmental compliance audits issued to depts in September.</li> <li>• Advisory meetings with departmental AIN reps ongoing.</li> <li>• All but three departments have completed the self-audit monitor.</li> <li>• Departmental responses to compliance audits being analysed and AIN reps receiving guidance from compliance team.</li> <li>• Responsibility for undertaking annual GDPR compliance audits will be transferred to departments post December 2018 with support, advice and guidance from the DPO and Information Compliance Team.</li> </ul> | Michael Cogher; Nick Senior | 14-Nov-2018      | 30-Nov-2018 |
| CR25k     | <ul style="list-style-type: none"> <li>• Standard contract clauses developed and applied to all new contracts</li> <li>• Template for departmental use to record and monitor compliance</li> <li>• Will be tested by GDPR compliance Team as part of departmental GDPR audits</li> </ul>   | Based on the departmental GDPR Contracts Register responses received to date there are 29 Contracts where there is no evidence of a Data Protection Schedule. These have been reviewed and are considered low risk in relation to personal data.  | Michael Cogher; Nick Senior | 15-Nov-2018      | 31-Dec-2018 |
| CR25l     | <ul style="list-style-type: none"> <li>• Paper to summit group on deletion of W drive data.</li> <li>• Data discovery tool procurement</li> </ul>  | <ol style="list-style-type: none"> <li>1. Software to identify unstructured personal data is being scoped. Potential suppliers identified: Varonis, Pitney Bowes, Tricostar and Veritas.</li> <li>2. Costs from the above suppliers will be received by 16.11.18.</li> <li>3. A funding bid will be submitted.</li> </ol>   | Matt Gosden; Sean Green     | 14-Nov-2018      | 31-Mar-2019 |

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|  |  | 4. Data discovery tool unlikely to be in place by 31.12.18, deadline extended to 31.03.2018 |  |  |  |
|--|--|---|--|--|--|

