



Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

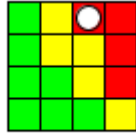
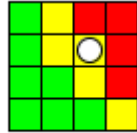

Generated on: 25 April 2019

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 Operational Security 07-Jun-2017 John Barradell	<p>Cause: 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>Event: Security of an operational property is breached.</p> <p>Effect: 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>	<p>Likelihood</p> <p>Impact</p>	24	<ul style="list-style-type: none"> Mitigation works for CR24 location B start end of this month, other works here await Gateway 5 approval about to be submitted by City Surveyors. CR24 location A: 3 areas complete other works at this location June, with the exception of one location which is still going through final design before project sign off, G5 approval, procurement & installation <p>30 Apr 2019</p>	<p>Likelihood</p> <p>Impact</p>	16	30-Sep-2019	 Constant


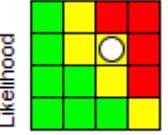

Appendix 2a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR24a	Deliver a programme of security infrastructure enhancements	<ul style="list-style-type: none"> • Governance in place, monitored through Strategic Security Board. DBE have taken over delivery of CR24 location A HVM and rear of CR24 location B , works commenced and designs in place. Cross Cutting work has commenced. BBM completed at CR24 location A, B and C. • CCTV, Control Room and Access Control works being tendered January – February 2019 for works commencing March / April and completing November/December 2019. • HVM Works for rear of CR24 location B start end of this month, other works await Gateway 5 approval about to be submitted by City Surveyors 	Paul Wilkinson	30-Apr-2019	30-Sep-2019
CR24b	Mitigating risk of vehicle borne attacks across Corporation estate.	<ul style="list-style-type: none"> • Good strategic and tactical grip established with Police and key stakeholders. HVM work now completed at CR24 location D. Other priority locations Phase 1 to mitigate risk to public of vehicle borne Terrorist attack either in progress or complete. Phase 2 planning for 2019/20 underway, with governance and clear audit trail for decisions between CoL & CLP. • Works are commencing at CR24 location B in May 2019. • CR24 location D HVM is being designed at three locations. 	Carolyn Dwyer; Paul Wilkinson	30-Apr-2019	30-Sep-2019
CR24e	Protecting Guildhall for major events by installing HVM.	CR24 location A: 3 areas complete other works at this location June, with the exception of one location which is still going through final design before project sign off, G5 approval, procurement & installation	Carolyn Dwyer; Richard Woolford	30-Apr-2019	30-Sep-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
<p>CR23 Police Funding</p> <p>21-Nov-2016</p> <p>Ian Dyson; Peter Kane</p>	<p>Cause: Reduction in government funding, workforce costs 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>	<p>16</p>	<p>A significant overspend for the current year is expected to be covered by a combination of c.£3m of CoLP mitigations, c.£2m drawdown of the POCA reserve and £1.9m allocation to CoLP of additional BRP proceeds.</p> <p>A balanced budget has been set for 2019/20, taking account of £4.6m of CoLP savings and £4.2m of BRP measures. However there are risks, in particular to managing workforce and overtime levels down, which will need to be closely monitored across the year. A CoLP growth bid is to be considered by Police Committee and RASC. Capital priorities are also to be considered by RASC in April 2019.</p> <p>For medium-term finances beyond 2019/20, indicative Transform savings are currently insufficient to close the financial gaps. A strategic plan for balancing medium-term finances will be developed during 2019/20 covering efficiency, cost reduction, income generation and potentially growth bid measures, and taking account of the SR outcome expected late 2019.</p> <p>27 Mar 2019</p>	 <p>Likelihood</p> <p>Impact</p>	<p>12</p>	<p>31-Mar-2020</p>	<p></p> <p>Constant</p>

Appendix 2a

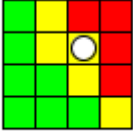
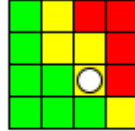
Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR23a	Deliver the savings programme for currently identified savings in 2018/19.	The CoLP savings plan to provide £3+m of mitigation, to partially offset the 2018/19 overspend, is subject to regular monitoring. £3m has now been logged as realised (from measures such as recruitment and non-pay freezes, and additional income generation measures) and is to be assured for the PA Board in May 2019. Other areas of forecast overspend are expected to be covered by the utilisation of c.£2m of POCA reserves as well as the allocation to CoLP of £1.9m additional BRP proceeds.	Alistair Sutherland	27-Mar-2019	31-Mar-2019
CR23b	Medium Term Financial Plan	<p>A balanced budget has been set for 2019/20, taking account of £4.6m of CoLP savings and £4.2m of BRP measures. However there are risks, in particular to managing workforce and overtime levels down, which will need to be closely monitored across the year. A CoLP growth bid is to be considered by Police Committee and RASC. Capital priorities are also to be considered by RASC in April 2019.</p> <p>For medium-term finances beyond 2019/20, indicative Transform savings are currently insufficient to close the financial gaps. A strategic plan for balancing medium-term finances will be developed during 2019/20 covering efficiency, cost reduction, income generation and potentially growth bid measures, and taking account of the SR outcome expected late 2019.</p>	Alistair Cook	27-Mar-2019	31-Mar-2020

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
CR01 Resilience Risk 20-Mar-2015	<p>Cause - Lack of appropriate planning, leadership and coordination</p> <p>Event - Emergency situation related to terrorism or other serious event/major incident is not managed effectively</p> <p>Effect - 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.</p>	 <p>Likelihood</p> <p>Impact</p>	12	<ul style="list-style-type: none"> • Business Continuity training complete.action place now in place to implement key recommendations from the training and BIA process • BECC Training session complete, process and call out still to be finalised . Cycle of training to continue • Further staff awareness date planned 25/6/19 as part of cycle of training/awareness 	 <p>Likelihood</p> <p>Impact</p>	12	30-Apr-2020	 Constant

Appendix 2a

John Barradell							
----------------	--	--	--	--	--	--	--

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR01D	Working with the IS division, remove potential single points of failure from business continuity processes.	Telephony systems for Guildhall have now been upgraded to VoIP and plans to scope and delivery a Unified Communications solution for the Corporation are being developed. Following the LAN and WiFi upgrade work across the City Corporation’s sites, network resilience for the organisation has greatly improved. The Network transformation project is on target for completion at the end of March 2019, including an upgrade to its primary internet connectivity.	Gary Locker	05-Mar-2019	31-Mar-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	Action place now in place to implement key recommendations from the training and BIA process	Gary Locker	09-Apr-2019	30-Apr-2020
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	Training for this session complete , process and call out still to be finalised	Gary Locker	09-Apr-2019	31-Dec-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	BECC training as part of this process completed March 2019 , cycle of training to continue Further staff awareness date planned 25/6/19 as part of cycle of training/awareness	Gary Locker	09-Apr-2019	31-Dec-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
<p>CR02 Loss of Business Support for the City</p> <p>22-Sep-2014 Damian Nussbaum</p>	<p>Cause - The City Corporation’s actions to promote and support the competitiveness of the business City do not succeed.</p> <p>Event - The City’s position as the world leader in international financial services is adversely affected</p> <p>Effect - 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 as a place to do business and to Corporation ability to govern effectively</p>	<p>Likelihood</p>  <p>Impact</p>	<p>12</p>	<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. The deal was heavily defeated in Parliament, and following subsequent Parliamentary votes, the Prime Minister will be engaging with the EU27 to seek changes to the Backstop provisions of the Withdrawal Agreement. The second vote on the Prime Minister’s deal was also heavily defeated. There is debate as to whether, how and in what form, a third Meaningful Vote might take place.</p> <p>UK regulatory authorities have announced unilateral action to 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. Progress has been made on this issue with ESMA and other Member State regulators taking appropriate action.</p> <p>Firms are making preparations to mitigate the impact of No deal.</p> <p>28 Mar 2019</p>	<p>Likelihood</p>  <p>Impact</p>	<p>8</p>	<p>30-Apr-2020</p>	<p>■</p> <p>Constant</p>

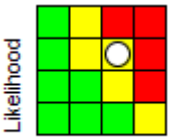
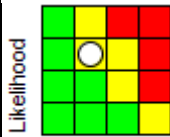

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR02H	Work on initiatives which ensure London is at the forefront of innovation in financial and professional services	<p>We have actively contributed to UK Government led initiatives with other markets on FinTech. A new 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 through the Coalition for Digital Intelligence and the Financial Services Skills Taskforce.</p> <p>Engagement with policymakers and businesses at the recent World Economic Forum, has informed our ongoing work programme to increase bilateral trade and investment, as well as ensuring the UK economy is prepared for technological changes.</p> <p>Increased engagement with priority markets including Japan, US, Switzerland and China.</p>	Damian Nussbaum	28-Mar-2019	30-Jun-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
CR09 Health and Safety Risk	<p>Cause - 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>Event - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect - 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>	12	<ul style="list-style-type: none"> The new inspection programme initiated and now 10% progressed. NOW 25% Progressed. H&S leadership workshop for Town Clerk's has been rearranged to 21/3/2019 COMPLETED A paper is being taken to the HS & Wellbeing committee as a proposal to refresh the H&S monitoring / KPIs. Agreed and being taken forward. Time to Talk MH campaign will start soon running 4 -15 Feb. COMPLETED Paper to HS&W committee on 	<p>Likelihood</p> <p>Impact</p>	12	31-Dec-2019	

Appendix 2a

22-Sep-2014 Chrissie Morgan				review of this CR09 (H&S) Risk • Safer Services collaborative seminar with conflict management partners on 15/4 Livery Hall (140 delegates expected) 09 Apr 2019				Constant
--------------------------------	--	--	--	---	--	--	--	----------

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR09J	Deliver a series of health and safety audits and compliance checks to provide corporate assurance that the organisation is being managed safely	The new inspection programme initiated and now 25% progressed.	Sarah Blogg; Nikki Jago; Justin Tyas	09-Apr-2019	31-Dec-2019

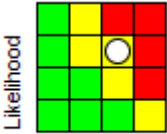
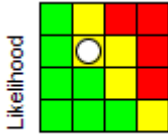

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR20 Road Safety	<p>Cause: Limited space on the City’s medieval road network to cope with the increased use of the highway by vehicles and pedestrians / cyclists within the City of London. Interventions & legal processes take time to deliver</p> <p>Event: The number of casualties occurring in the City rises instead of reducing.</p> <p>Effect: 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> <p>Impact</p>	12	<p>The risk has been updated. The ‘Impact’ has moved from to Serious to Major. The Likelihood remains unchanged at Possible. Overall the Risk remains AMBER</p> <p>The Risk has been updated to reflect the high-profile of Ludgate Circus junction following several serious collisions in recent years. Several articles have been published in the media regarding this junction, and it is likely that should a serious collision occur this will result in adverse coverage in both a local and national</p>	 <p>Likelihood</p> <p>Impact</p>	6	31-Dec-2019	

Appendix 2a

23-Oct-2015 Carolyn Dwyer				<p>media.</p> <p>We have been actively encouraging TfL to deliver an ambitious approach at Ludgate Circus Junction and expect their proposals to be reported to P&T Committee in May.</p> <p>This update reflects the current wording of this Risk. Following discussion at March 18th P&T Committee, a wider review of the Risk is being undertaken.</p> <p>Progress on the Road Danger Reduction and Active Travel Plan continues with the aim of reducing road danger across the Square Mile.</p> <p>18 Apr 2019</p>				Increasing
------------------------------	--	--	--	--	--	--	--	------------

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20k	<p>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.</p> <p>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.</p>	<p>Safe Vehicles – Progress continues subsequent to the Van Operators Working Group. Work has begun with insurers and technology providers to develop a pilot scheme to monitor driver behaviour with a view to reducing premiums for better drivers.</p> <p>Safe Streets - Lunchtime Streets trial on St Mary Axe was successfully delivered to open traffic free streets to the community at lunchtime peaks. Feedback from over 250 people interviewed has been tremendously positive, with 95% supporting a traffic free environment on St Mary Axe at lunchtime.</p> <p>Safe Behaviours – A rider’s forum has been established with participants from cycling and motorcycling lobby groups, the City of London Police, food and goods delivery companies present. Progress on training riders and promoting considerate cycling is underway.</p>	Zahur Khan	18-Apr-2019	31-Dec-2023

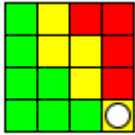
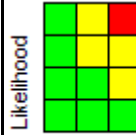

Appendix 2a

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
CR21 Air Quality 07-Oct-2015 Jon Aaverns	<p>Cause: 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>Event: 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>Effect: The consequences both acute and chronic may include: 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). An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers). 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. Persistent poor air quality may affect the longer term health of the City population. Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>	 <p>Likelihood</p> <p>Impact</p>	12	No change from previous assessment 03 Apr 2019	 <p>Likelihood</p> <p>Impact</p>	6	31-Dec-2020	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR21 001i	Pilot an ultra-low emission street in the City of London.	Feasibility study complete. Consultation complete.	Jon Aaverns	03-Jan-2019	31-Dec-2019

Appendix 2a

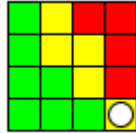
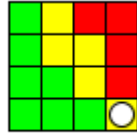
Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR26b	Progress on all departmental Brexit risks and their mitigations be reported monthly to Summit Group	<ul style="list-style-type: none"> • Corporation officers attending City of London Police Brexit Planning and Gold Command meetings. • Submissions are being made weekly to MHCLG, via London Councils reporting on whether a range of indicators have got 'worse', 'better' or 'stayed the same'. The more detailed data submissions are now made monthly. • Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness. • Simon Latham & Emma Lloyd have been nominated as the Corporation's point of contact for London Councils briefings and work on this. • A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed. • The rhythm of Brexit Planning and review meetings has been increased to every 10 days. • The Town Clerk is chairing the London Strategic Coordination Group due to meet daily until 31 Marc 	Simon Latham	01-Apr-2019	12-Apr-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
CR10 Adverse Political Developments	<p>Cause: 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>Event: 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>Impact: 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</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 foremost consideration at the present time is the ongoing uncertainty in relation to Brexit. The	<p>Likelihood</p>  <p>Impact</p>	8	31-Mar-2020	

Appendix 2a

22-Sep-2014 Paul Double	of London Corporation would be compromised if the City's position as a worldleading financial and professional services centre were undermined. Loss of City Corporation functions as a result of adverse attitudes towards the Corporation.			same approach is replicated in respect of professional services; the digital economy; arts and culture; and other activities undertaken by the City Corporation. 01 Apr 2019				Constant
----------------------------	--	--	--	--	--	--	--	----------

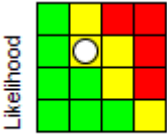
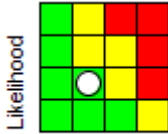

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR10a	Monitoring of Government legislation and proposed regulatory changes.	Relevant Bills in the Government's legislative programme will be identified and City Corporation departments alerted to issues of potential significance 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 is an ongoing key priority.	Paul Double	01-Apr-2019	31-Mar-2020
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	01-Apr-2019	31-Mar-2020
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 when an outcome on Brexit is agreed. 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	01-Apr-2019	31-Mar-2020

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>CR17 Safeguarding</p> <p>22-Sep-2014 Andrew Carter</p>	<p>Cause: Not providing appropriate training to staff, not providing effective management and supervision, poor case management</p> <p>Event: 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</p> <p>Effect: 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</p>	<p>Likelihood</p>  <p>Impact</p>	8	<p>The results of the Ofsted focused visit on care leavers has been reported to the Community and Children's Services Committee in January 2019 and to the Audit and Risk Management Committee in March 2019. The outcome was positive with much evidence demonstrating a strong offer for care leavers. Three recommendations have been included on the Children's Social Care Services Improvement plan.</p> <p>A review of the Safeguarding arrangements in the City of London family of schools has been completed and a draft report is being prepared. The report will be presented to the Education Board in May 2019.</p> <p>The Children Act 2004 as amended by the Children and Social Care Act 2017 places new duties on key agencies in a local area. Local Safeguarding Children Boards will be replaced by new local safeguarding partnership arrangements from September 2019</p> <p>17 Apr 2019</p>	<p>Likelihood</p>  <p>Impact</p>	8	31-Mar-2020	<p>■</p> <p>Constant</p>

Appendix 2a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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 full diagnosis of the issues has been completed and an action plan is being monitored by the Mosaic Advisory Board to ensure a permanent solution is in place. Ongoing monitoring and maintenance of the arrangement with Hackney will be subject to review at the People Senior Management Team meetings.	Hasna Begum; Sharon McLaughlin	12-Apr-2019	30-Jun-2019
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 in the City of London will take place during the current academic year. A training gap analysis has been carried out and training to address this will be delivered during the summer term. A conference for staff from the sector is being planned for September 2019.	Theresa Shortland	12-Apr-2019	30-Sep-2019
CR17S	A review of safeguarding arrangements within the City of London family of schools, including the CoL academies has been commissioned by the Education Division. It is anticipated that the review will be completed by 31 March 2019	A review of the Safeguarding arrangements in the City of London family of schools has been completed and a draft report is being prepared. The report will be presented to the Education Board in May 2019.	Anne Bamford	12-Apr-2019	31-May-2019
CR17T	The Children Act 2004 as amended by the Children and Social Care Act 2017 places new duties on key agencies in a local area. Local Safeguarding Children Boards will be replaced by new local safeguarding partnership arrangements. These arrangements place statutory responsibilities upon 3 agencies to develop and implement a new partnership, these are Local Authorities, Health and Police.	The City and Hackney Safeguarding Children Board will be replaced by the City and Hackney Safeguarding Children Partnership (CHSCP). The new governance arrangements need to be approved by the Department for Education by end of June 2019 and in place and operational by September 2019. The final decision regarding the CHSCP governance arrangements will be made by the Chief Officers of the City of London Corporation Department of Community and Children Services, Hackney Children Services, the City and Hackney Clinical Commissioning Group, the City of London Police and the Metropolitan Police Service in Hackney. A report was presented to the Community and Children Services Committee in April 2019 setting out the details of the arrangements and the options currently being considered.	Sharon McLaughlin; Chris Pelham	17-Apr-2019	30-Sep-2019
CR17U	DCCS will be working with Town Clerks Department to deliver a Member briefing programme in 2019 that will enhance member knowledge and understanding of key safeguarding areas across children and adults.	The aim of the sessions is to raise awareness of Member responsibilities in respect of safeguarding. The briefings will include; <ul style="list-style-type: none"> • The Mental Capacity Act and Making Safeguarding Personal. • Adult Social Care • Rough Sleepers • SEND/Safeguarding- Education and Safeguarding 	Chris Pelham	17-Apr-2019	31-Dec-2019

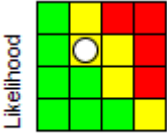
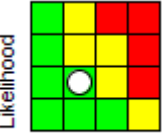

		<ul style="list-style-type: none"> • The role of Corporate Parent- Children’s Social Care 			
CR17V	The City of London Safeguarding Policy was implemented in 2014. It is subject to review on an annual basis. A corporate safeguarding audit was undertaken in 2018/19.	<p>The Corporate safeguarding audit which focused on:</p> <ul style="list-style-type: none"> • The safeguarding responsibilities of each of the City of London’s departments • Departmental heads’ understanding of these responsibilities • Governance structures for monitoring and reporting safeguarding issues • Responses to safeguarding incidents and how these were reported to the relevant committee(s) <p>The final audit report and recommendations will be presented to summit, Chief Officers Group and Audit and Risk Management Committee.</p>	Chris Pelham	17-Apr-2019	31-Oct-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
CR25 General Data Protection Regulation Compliance	<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>	6	<p>1.The GDPR project was closed down on 29.03.2019. There are a very few actions that require redress and the C&CS Information Compliance Team will be advising departments on these issues during April 2019.</p> <p>2.GDPR non-compliance remains on the corporate risk register with a revised title.</p> <p>3. Mazars will undertake an audit of GDPR compliance in May 2019. The audit report will be reported to Audit and Riak Committee following receipt of an agreed final version.</p>	 <p>Likelihood</p> <p>Impact</p>	4	29-Mar-2019	

Appendix 2a

01-Dec-2017 Michael Cogher				03 Apr 2019				Constant
-------------------------------	--	--	--	-------------	--	--	--	----------

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR25h	<ul style="list-style-type: none"> Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule. GDPR compliance team to advise and review departmental retention schedules and liaise with departmental AIN representatives on required improvements. 	The remaining departments are working on finalising their data retention schedules.	Michael Cogher	26-Mar-2019	28-Feb-2019
CR25l	<ul style="list-style-type: none"> Paper to summit group on deletion of W drive data. Data discovery tool procurement 	<ol style="list-style-type: none"> IS to deliver a business case to secure funding for a data discovery tool. Deputy IT Director & Head of Business Change and Engagement are developing a proposal for the management of the W:Drive. 	Matt Gosden; Sean Green	20-Feb-2019	31-May-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		
CR27 Change Management	<p>Cause: Failure to appreciate the scale, complexity and impact of change and take the necessary steps to ensure the organisation has the capability and capacity to change (to stay relevant)</p> <p>Event: poorly managed and ineffective change</p> <p>Effect:</p> <ul style="list-style-type: none"> Disruption to service, poor performance and damage to reputation Outcomes not achieved, reduction in benefits (financial and non-financial) Failure to change or keep up with change, organisational 	 <p>Likelihood</p> <p>Impact</p>	6	<ul style="list-style-type: none"> Corporate Strategy & Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently Plan is to bring these capabilities together as part of a single, streamlined officer governance system in 2020-21. Departmental workforce plans are being embedded in Business Plans 	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2020	

<p>paralysis and reduction in ability to remain relevant</p> <ul style="list-style-type: none"> • Adverse impacts on external stakeholders including businesses and residents. • Loss of valued staff and / or negative mental health impacts for staff. 		<p>with a forward look to show full upcoming requirements</p> <ul style="list-style-type: none"> • Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review • A dedicated Senior HR Change Business Partner has been appointed to support Chief Officers in planning cross-cutting or significantly impactful change and to produce a Change Management Manual to support managers and employees through change and an enhanced Organisational and Development Team is working directly with departments and teams to embed change. • Departmental action plans are being developed and together with the fundamental review will inform the work of the HR team. A new Management programme has been rolled out which is receiving very good feedback. A number of new tools have been introduced for workplace interventions to support change and the Learning and OD team have been to most SLT/DMTs to discuss support for change. The project management strand of the Academy is being developed to support both major projects and restructures. • The new appraisal system as a developmental appraisal has been rolled out from 1st April using the new behaviours and the 9 box grid 				
--	--	---	--	--	--	--

Appendix 2a

05-Dec-2018 Chrissie Morgan; Kate Smith				02 Apr 2019				Constant
--	--	--	--	-------------	--	--	--	----------

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR27a	To build the capability to look across existing and proposed programmes of work and assess their comparative benefits, risks and resource requirements and understand their interdependencies	<ul style="list-style-type: none"> Corporate Strategy & Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently. Plan to bring these capabilities together as part of a single, streamlined officer governance system Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements 	Kate Smith	02-Apr-2019	31-Mar-2020
CR27b	To help staff understand why, how and what we're changing to increase engagement and take-up and deliver benefits	Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review	Kate Smith	02-Apr-2019	31-Jan-2020
CR27c	To build capacity and develop and grow our in-house capability and skills to manage change	<ul style="list-style-type: none"> A dedicated Senior HR Change Business Partner has been appointed to support Chief Officers in planning cross-cutting or significantly impactful change and to produce a Change Management Manual to support managers and employees through change and an enhanced Organisational and Development Team is working directly with departments and teams to embed change. Departmental action plans are being developed (from the engagement survey) and together with the fundamental review will inform the work of the HR team. A new Management programme has been rolled out which is receiving very good feedback. A number of new tools have been introduced for workplace interventions to support change and the Learning and OD team have been to most SLT/DMTs to discuss support for change. The project management strand of the Academy is being developed to support both major projects and restructures. The new appraisal system as a developmental appraisal has been rolled out from 1st April using the new behaviours and the 9 box grid. 	Chrissie Morgan	02-Apr-2019	31-Jul-2019
CR27d	To put in place a new behavioural framework that is accessible and achievable at every level within the organisation to support collaboration and innovation	The new framework is agreed and in place to be used from 1st April 2019	Chrissie Morgan	02-Apr-2019	30-Apr-2019