

## Top Red departmental risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

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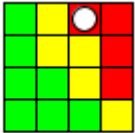
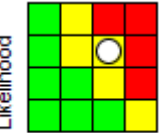


Rows are sorted by Risk Score

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
<b>CLF-012</b> <b>Freemen's Estate Development Plan</b> 15-Nov-2016 Susan Williams	<b>Cause(s):</b> If the City committee programme reports are not supported by the appropriate committees. <b>Event:</b> the City Corporation approval for loan funding will not meet project timescales. <b>Effect:</b> resulting in key objectives / activities not being delivered on time and reputational damage to the School.	 Likelihood Impact	24	Freeman's is currently in limbo awaiting approval for a loan to cover the completion of this project, which started sixteen months ago.  <b>26 Mar 2019</b>	 Likelihood Impact	12	30-Apr-2019	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CLF-012A	Work with Chamberlain and Surveyor's Departments to develop and implement plan. Drive fundraising initiatives to ensure plan is achievable.	The gateway process is currentl between committees with a further review scheduled for 8th April 2019.	Roland Martin	26-Mar-2019	31-Mar-2019

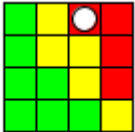
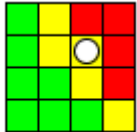
## Appendix 3a

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>BBC Builds 006 Ex Halls Electrical Condition</b></p> <p>08-Feb-2019</p>	<p><b>Cause:</b> Poor condition of HV (High Voltage) and Low Voltage switchgear and associated equipment.</p> <p><b>Event::</b> Loss of electrical services. Failure of electrical safety equipment. Contaminated oil with banned substances.</p> <p><b>Impact:</b> Closure of one or both Ex Halls and Cinemas 2 and 3, financial, operational and reputational impact. Fire risk. Risk to health.</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p>  <p style="text-align: center;">Impact</p>	<p><b>16</b></p>	<p>A recent inspection highlighted several inadequacies in the electrical infrastructure. The oil in the HV transformers are contaminated with BCPs (Bichlorophenyls). These are banned substances that have to be registered with the environmental agency and managed within set guidelines. The only way to remove them is by changing the oil, ca. £50k or to replace the transformers ca. £70 - 80k). The transformers must be 40 years old (inspected lifecycle 25 years).</p> <p>Both the HV and LV systems are served by backup chargers, neither of which are operational/repairable. The purpose of these is purely safety; without these there is risk of fire in the event of an electrical fault. The general condition of the HV switchgear, LV switchgear, buzz bars and electrical infrastructure is poor, partially due to the age of the equipment, and would not meet today's safety standards.</p> <p>Initial works scheduled for 12 April which should reduce the fire risk. The funding required to ensure reliability of electrical infrastructure is significant and will be part of the £4.8m Bow Wave funding that has been requested with the City Surveyor to be decided on by CASC.</p> <p><b>25 Mar 2019</b></p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p>  <p style="text-align: center;">Impact</p>	<p><b>12</b></p>	<p>01-May-2019</p>	<p>■</p>

## Appendix 3a

Jonathon Poyner							Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC Builds 006a	Specified repairs to HV and LV systems and replacement of 2 no chargers.	In the long term, the likelihood of further reducing the risk will require major investment to replace or upgrade electrical plant as per Ex Halls bow wave.	Jonathon Poyner	25-Mar-2019	01-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
<b>BBC Commerc 003 Brexit Impact of Brexit on the Movement of Talent, Technical and Production Staff and Temporary Movement of Cultural Goods</b>	<p><b>Cause:</b> The outcome of Brexit negotiations impacts the ability of EU nationals to live/work in the UK and for cultural goods to move across borders.</p> <p><b>Event:</b> The Barbican Centre is unprepared for the loss (or partial loss) of access to the best talent and specialist artists, performers, technical staff and cultural goods from the EU to produce a varied and attractive cultural programme.</p> <p><b>Effect:</b></p> <ol style="list-style-type: none"> <li>1. The cultural programme offered is not as varied and attractive as it would otherwise have been.</li> <li>2. Customer expectations are not met with resultant reductions in revenues for both the Barbican Centre and catering contractors.</li> <li>3. The reputation of the Barbican Centre (and the Culture Mile) as a premier cultural location is adversely affected.</li> <li>4. Additional costs incurred to produce the Centre's cultural programme.</li> <li>5. Less attractive for EU based artists.</li> <li>6. Reduction in income streams.</li> <li>7. Reduced footfall.</li> <li>8. Procurement and contractor issues.</li> </ol>	<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Likelihood</div>  </div> <p style="text-align: center; margin-top: 5px;">Impact</p> <p style="text-align: center; font-weight: bold; font-size: large;">16</p>	<p>As summarised in our report to the Brexit Committee chaired by the Town Clerk, we have continued to monitor and mitigate as appropriate. We continue to work with the City including the City Surveyor and Procurement on the operational risks and we have conducted our own internal BCP sessions as regards mitigating operational risks locally. Our move towards ever closer integration with the City over the past couple of years has meant that many of our important contracts are corporate contracts and the City Surveyor and City Procurement have been working with us over the years to ensure any new contracts have built in redundancy and mitigate risks including Brexit. The Arts Team continue to work with touring companies etc. and a separate paper is provided to the City's Brexit Risk Committee as this risk remains</p>	<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: small; margin-right: 5px;">Likelihood</div>  </div> <p style="text-align: center; margin-top: 5px;">Impact</p> <p style="text-align: center; font-weight: bold; font-size: large;">12</p>	12-Apr-2019	<div style="width: 10px; height: 10px; background-color: blue; margin: 0 auto;"></div>

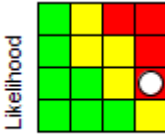
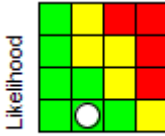

## Appendix 3a

12-Dec-2018 Nicholas Kenyon				<p>very live for the City and departments. Government are aware of potential issues, including for example people, and this has been fed in as required by the various bodies including sector and City. We continue to monitor closely and continue to work on mitigations.</p> <p>Event Cancellation Comms plan has been agreed with the City Communications team.</p> <p>We continue to liaise with the City Surveyor's team who have been looking at continuity planning and likely contracts of supply. We have been working with Procurement and the City Surveyor's team to ensure we minimise risk in existing or new contracts. We have conducted our own internal BCP sessions to look at operational issues and we continue to work on comms plans and contractual issues for the arts side.</p> <p><b>01 Apr 2019</b></p>				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC Commerc 003a	Ensure Brexit related press and Government actions are monitored.	Continued Monitoring.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019
BBC Commerc 003b	Ensure potential risks and mitigations are identified and implemented	Teams are monitoring their own risk assessments and in particular the Arts and Commercial areas, which are then fed into Management for oversight. These are live documents and we are monitoring the evolving situation.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019

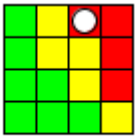
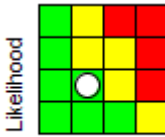

**Appendix 3a**

		The Brexit Risk Assessment document, (mentioned above), managed by Nick Adams, reporting to the Directorate, includes risks which the Directorate and teams deem necessary to record in support of the Pentana risk entry.			
BBC Commerc 003c	Ensure business plan includes flexibility and allows for Brexit modelling	We respond to enquiries from EU based partners on a case by case basis. Ongoing discussion with City Solicitors. Ongoing conversations with Chamberlain's with regards to the business model. Ongoing discussions with City Surveyor and Procurement as regards City centralised contracts and supply.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019
BBC Commerc 003d	Ensure that suitable comms plans are in place.	Teams continue to work with Comms and City as appropriate to ensure a consistent message is put out as and when required. Management and teams working closely to ensure team risk assessments are live and the implications understood by management.  Event Cancellation Comms plan has been agreed with the City Communications team.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019

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<b>BBC H&amp;S 005</b> <b>Failure to Deliver the Fire-Related Projects</b>  06-Jul-2018 Jonathon Poyner	<b>Cause:</b> Inability to deliver the fire related projects in a timely and prioritised manner, resulting from insufficient resource, inability to get to access the areas or issues due to Listed Building Regulations, planning, etc. <b>Event:</b> Failure to deliver the fire related projects <b>Impact:</b> Delays to the projects would bring continued risk and need to maintain the current mitigations, incurring costs. Also increased risk of fire spreading more quickly or further	 Likelihood Impact	<b>16</b> Papers have now been back to the CWP peer review and have been passed by Projects Sub Committee. Works commence on site with appropriately qualified consultants within the next month. We continue to work with our colleagues at the City to find appropriately qualified consultants and workable solutions. The delivery of the works will be phased so that we can commence as soon as the consultants submit their report and recommendations for each zone of the building. <b>22 Mar 2019</b>	 Likelihood Impact	2 01-Sep-2021	  Constant

## Appendix 3a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC H&S 005a	Project planning and control during life of the projects to ensure fire safety while maintaining business continuity.	Project plans and progress discussed at Fire Strategy meetings with any further mitigations planned as a result. Closer working across the Barbican teams with support from CoL colleagues delivers compliance while waiting for project plans to be passed at various committees.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005b	The projects comply with current and respond to subsequent legislative changes during the lifetime of the projects; ensuring the contractors have engaged suitable consultants for the projects.	Procurement have assisted with contractor suitability supported by our CoL colleagues.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005c	Projects being delivered within the agreed time frames and agreed budgets.	Fire Signage is approved at Gateway 2 and will not commence straight to Gateway 5 for approval. The consultants for will commence the survey for Fire Stopping/compartimentation, Fire Doors and Emergency Lighting from 8th April. The site is Zoned from A-G and as each Zone is surveyed, the results are issued for tendering to companies to complete the work. This will be a rolling programme.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005d	Select the appropriate contractors in line with CoL control of contractors' guidance who have developed robust business continuity plans following Brexit.	Correct level of qualified consultants are now approved. Risk of availability remains.	Jonathon Poyner	06-Mar-2019	01-Sep-2021
BBC H&S 005e	Delivering CIP following the outputs from FRAs and delivering the changes required to ensure PPMs.	Work continues in populating our PPMs. Currently sourcing a H&S software system to assist in our PPM programming.	Jonathon Poyner	06-Mar-2019	01-Sep-2021

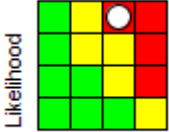
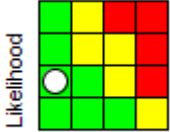

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<b>CHB IT 026 Failure to commence CoLP IT Modernisation</b> 01-Mar-2019 Kevin Mulcahy	<b>Cause:</b> A lack of financial provision in budgets or contingency funding may cause a failure to commence CoLP IT Modernisation projects, as planned and on time. Decreased provision may require the work to be re-prioritised, reduced in scope or extended over a longer period, any of which would have a negative effect. <b>Event:</b> A failure to begin essential projects in Jan 2019 and the planned programmes of IT Modernisation at the beginning of FY 2019/20 could at a minimum lead to the following;	 Likelihood Impact	<b>16</b>	Funding secured. Project to be mobilised. This is still a risk due to timescales available.  <b>17 Apr 2019</b>	 Likelihood Impact	<b>4</b>	30-Apr-2019	  Constant

## Appendix 3a

<ul style="list-style-type: none"> <li>• A delay in adopting O365 based identity access management (IAM) and aligned applications in suitable time frames. This in turn could lead to reduced access to national databases such as PND and NLEDS products.</li>   <li>• Insufficient time to update O/S to Windows 10 before Windows 7 becomes unsupported by MS. As well as a vulnerability, this will be a compliance issue / breach of policy. A support package would also need to be implemented for unsupported Win7 environment.</li>   <li>• Reputational Damage due to reduced ability to work with other forces and meet Home Office expectations, as well as not meeting the Corporate Plan and ability to complete other planned projects.</li> </ul> <p><b>Effect:</b>The effect of prolonging the life of the current technology or delaying in the adoption of nationally agreed police IT architecture could lead to a partial or total failure of CoLP systems and data loss/compromise, in turn leading to operational failure and possible physical, operational, reputational and financial damage. Failure to provide service to the public.</p>						
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 026b	Using available funds to start some initial design work	Work commissioned on early design for Office 365 Modernisation	Kevin Mulcahy	26-Mar-2019	30-Apr-2019
CHB IT 026c	Force advised to make financial provision for extended support for legacy Windows 7 estate.	Documented risk notified to force.	Andrew Bishop	25-Mar-2019	30-Apr-2019

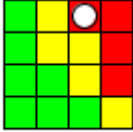
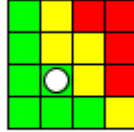

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<b>CHB IT 027 IP Telephony and Call recording – Cessation of dependency services</b> 01-Mar-2019 Matt Gosden	<b>Cause:</b> The Force receives cessation notices for key dependency services on which the Telephony and Call recording rely. <b>Event:</b> The Force does not have enough notice to remediate the risk of ceased or ceasing essential services on which Telephony and Call recording rely. <b>Effect:</b> Essential Telephony and Call recording services are not available, leading to severe reputational and operational risk to the Force and potential public safety and welfare risks to the wider public.	 Likelihood	<b>16</b>	Financial and Project Approval has been gained.  Work has commenced on migration project  <b>26 Mar 2019</b>	 Likelihood	<b>2</b>	31-May-2019	  Constant

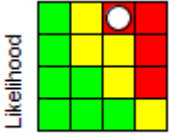
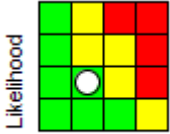

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 027c	Expand SIP Capacity with current provider	PO in process	Matt Gosden	26-Mar-2019	03-Apr-2019
CHB IT 027d	Build virtual Environment	Expand PoC virtual environment to form base new environment on which to deliver telephony services and ported DDI ranges.	Matt Gosden	27-Mar-2019	30-Apr-2019
CHB IT 027e	Configure New extensions in new Environment	Create internal configuration and migrated Mitel databases and user accounts from old estate to new across all Police sites.	Matt Gosden	27-Mar-2019	15-May-2019
CHB IT 027f	Implement Call Recording	Based on Business requirements and High and Low level designs, implement virtualised core call recording platform and on-premise recorder for Integrated Command and Control System.	Matt Gosden	27-Mar-2019	15-May-2019
CHB IT 027g	Completion of Porting	Ported DDI ranges land and deliver incoming call traffic over new SIP to new environment. Test.	Matt Gosden	27-Mar-2019	29-May-2019



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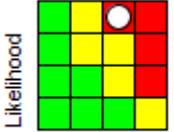
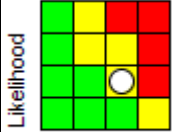

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<b>CHB IT 029 2020 Contract Planning and Procurement</b> 01-Mar-2019 Kevin Mulcahy	<p><b>Cause:</b> A lack of financial provision for the work required to plan and undertake the design, procurement and transition processes for migration from the Agilisys Managed Service Contract in August 2020.</p> <p><b>Event:</b> The Corporation will not have appropriate contracts in place to support the business when the current IT Managed Service Contract expires in August 2020. The IT Department will not have enough time or resources available to complete all required activities.</p> <p><b>Effect:</b> The IT department will not be in a position to provide the appropriate and contractually sound service to the business.</p>	 <p style="text-align: center;">16</p>		<p><b>Decision on funding delayed. It is now expected in April 2019</b></p> <p>26 Mar 2019</p>	 <p style="text-align: center;">4</p>		30-Apr-2019	  Increasing

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<b>CLF-014</b> <b>Political changes affecting country, City of London, and School</b>  09-Jun-2017 Richard Dolan	<b>Cause:</b> Considerable uncertainty of future (Brexit/Economic uncertainty/political uncertainty). <b>Event:</b> Change to parental fees (VAT) <b>Impact:</b> Loss of pupils (income) risk to future of Freemen's.	 Likelihood Impact	<b>16</b>	Concerns regarding Brexit (consequences could include relocation of families who have children in the school; compromised residential status of key members of non-teaching teams); regarding the status of independent schools which are at a low ebb nationally and - increasingly - locally; changes to Government which could lead to VAT on school fees; Government decisions regarding Teachers Pensions which will have a big impact on financial position of School.  <b>06 Feb 2019</b>	 Likelihood Impact	<b>4</b>	31-Jul-2019	  Increasing

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CLF-014B	Exploration of increasing revenue through additional form. Brexit a reporting item for Governors and a strategic item at SLT meetings. Opening up lines of communication with parents over future. Discussions with Sodexo staff (European nationals).	Exploration of increasing revenue through additional form. Brexit a reporting item for Governors and a strategic item at SLT meetings. Opening up lines of communication with parents over future. Discussions with Sodexo staff (European nationals).	Jemima Edney	10-Feb-2019	22-Mar-2019

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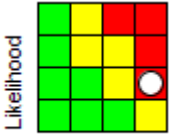
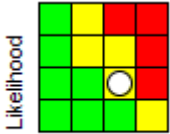

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<b>GSMD SUS 004 Failure to mitigate against a potential fall in EU student numbers as a result of Brexit</b> 03-Dec-2018 Jo Hutchinson; Jeremy Newton	The Vice Principal and Director of Music has prepared a Brexit mitigation strategy for the Music department, which is more exposed to a potential drop in recruitment from the EU than the Drama or Production Arts departments and accounts 75% of total student enrolment at the School. The plan includes: seeking to identify potential alternative loan providers should EU students lose access to the Student Loan Company; offering targeted fee waivers to EU students to counter the effect of higher fees; developing a new suite of short courses and foundation courses that would enable more Home students who were unsuccessful at their first audition to attend the School; reaching out to new markets beyond the EU from where the School has not historically recruited in significant numbers; and introducing remote teaching.	 Likelihood Impact	<b>16</b>	No further updates at this stage  28 Mar 2019	 Likelihood Impact	<b>8</b>	31-Dec-2019	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
GSMD SUS 004a	Develop a marketing strategy to deliver a significant increase in quality applications by students from outside the EU	We have recruited two members of staff to the Marketing team with student recruitment expertise and their objectives will include developing activity plans for increasing 2020 applications. We are also in the process of recruiting a Senior International Relations Manager who will be charged with developing an international strategy that is expected to have recruitment outcomes as part (though not all) of its objectives.	Jo Hutchinson	28-Mar-2019	31-Dec-2019
GSMD SUS 004b	Carry out targeted fundraising to raise new scholarship funds dedicated to EU students, and review strategic use of existing scholarship funds	We have made progress with the Scholarship Fund as fundraising seems to be going well this year. Progress has moved from 40% to 60% to reflect this.	Jeremy Newton	28-Mar-2019	31-Dec-2019
GSMD SUS 004c	Develop and introduce a range of short course and foundation courses to 'skill up' additional Home students who would otherwise be unable to attend the School	No further updates to report at this stage.	Jonathan Vaughan	28-Mar-2019	31-Dec-2019
GSMD SUS 004d	Develop a framework for the delivery of remote learning	No further updates to report at this stage.	Jonathan Vaughan	28-Mar-2019	31-Dec-2019
GSMD SUS 004e	Develop a more extensive strategy for Guildhall Profs to engage in overseas workshops and masterclasses – specifically targeting North America and Commonwealth	Developing a plan for a summer recruitment drive in Australia, based around an invitation to the ANAM String Quartet Festival.	Jonathan Vaughan	28-Mar-2019	31-Dec-2019

**Appendix 3a**

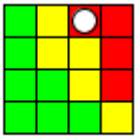
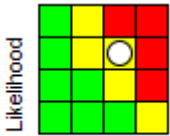

	Countries - a process that has a historic proven track record in generating significant increases in OS applications and enrolments				
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<b>MAN CCC 002 Working at Height</b> 28-Sep-2018 Vic Annells	<b>Cause:</b> Lack of effective management process and procedures for internal work at height including competency, supervision/management and protective systems  <b>Event:</b> Fall of persons and/or objects from height  <b>Effect:</b> Death or major life changing injuries, Enforcement action leading to prosecution and fines, financial losses, PI claim, Adverse effect on CoL/Court reputation / very negative publicity	 Likelihood	<b>16</b>  <b>Impact</b>	The installation of new and the repair of some existing eye-bolts is due to commence in May 2019  <b>15 Apr 2019</b>	 Likelihood	<b>8</b>  <b>Impact</b>	31-Jul-2019	  Decreasing

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
MAN CCC 002 b	This will flow from the Risk Assessment and Risk Register action Plan being developed.	Overall risk assessment for WaH tasks was agreed last year. Individual risks to be assessed by the technical teams with help from Margaret Jackson/Jan Horton.	Wayne Garrigan	07-Feb-2019	30-Jun-2019
MAN CCC 002 c	CoL H&S Advisor and external Consultant will be providing training to the in-house maintenance team and managers.	Once City Surveyor's contractors have completed the eyebolt works, the remainder of the training can take place.	Wayne Garrigan	07-Feb-2019	30-Jun-2019

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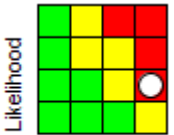
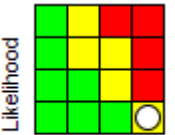

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>OSD 005 Pests and Diseases summary risk</b> 30-Aug-2017 Colin Buttery	<p><b>This risk summaries the pest and disease risks across the Open Spaces Department.</b></p> <p><b>Causes:</b> Inadequate biosecurity; purchase or transfer of infected trees, plants, soil and/or animals; ‘natural’ spread of pests and diseases from neighbouring areas.</p> <p><b>Event:</b> Sites become infected by animal, plant or tree diseases e.g. Oak Processionary Moth (OPM ), foot and mouth, Massaria, Ash Die Back, <i>Salmonella</i> (DT 191a), Bleeding Canker of Horse Chestnut</p> <p><b>Impact:</b> Service capability disrupted, public access to sites restricted, animal culls, tree decline, reputational damage, increased cost of monitoring and control of invasive species, risk to human health from OPM or other invasives, loss of key native species, threat to existing conservation status of sites particularly those with woodland habitats.</p> <p>This risk is felt to be of departmental concern due to the potential biodiversity, financial and human health impacts associated with this risk.</p> <p>The actions for this risk are the open actions from each of the divisional risk registers.</p>	 <p>Likelihood</p>	16	Risk upgrade to Red by committee on 8 April 2019 to reflect the increased impact of OPM on our sites. <b>15 Apr 2019</b>	 <p>Likelihood</p>	12	30-Apr-2020	 Increasing

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
OSD EF 007 a	Implement actions arising from Massaria survey. Survey to be undertaken twice yearly	Ongoing action.	Geoff Sinclair	15-Mar-2019	08-Apr-2020
OSD EF 007 d	Sudden Oak Death - Yearly inspection of all Rhododendron and Larch. Tender of Larch removal (now completed). To be done yearly	The Larch were found to be clear of Ramorum disease and have been felled. Rhododendron regrowth at The Warren Plantation was sprayed off. Sweet Chestnut will still need monitoring in 2019. However, with the bulk of Rhododendron removed and all the Larch felled, the risk of spores spreading in quantity is assessed as low at the moment.	Jeremy Dagley	15-Apr-2019	31-Mar-2020
OSD EF 007 e	Need to develop a biosecurity policy and then implement.	The OPM outbreak will now be dealt with under a separate risk action. The general Biosecurity Policy remains to be written for all the biosecurity risks. However, for Ramorum disease a protocol has ben prepared and used by contractors during the Larch removal (see other risk actions). A Biosecurity Position Statement, to provide an interim summary of the	Jeremy Dagley	19-Mar-2019	30-Oct-2020

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		current approach, will be prepared by June 2019. Full biosecurity policy and INNS policy expected 2020.			
OSD EF 008 c	Develop an INNS policy - particular focus on OPM, although other areas of concern to be tackled.	Progress made with Ramorum disease control (see other risk actions) and with INNS strategy for the 2019 season, with arborist officer appointed as lead on OPM matters. Other INNS need to be considered and no recent progress with Policy writing. However, in the interim, while the policy is being prepared and INNS position statement will be prepared by June 2019 to set out the current approach and actions and main species of concern. There will also be some horizon scanning carried out to consider likely new pest species.	Jeremy Dagley	15-Apr-2019	01-Jul-2020
OSD NLOS 004 a	Sourcing of plants / trees through approved suppliers. Review six monthly	Tree provenance is considered, the Division will source and use planting stock consistent with best practice guidance. Ongoing action.	Richard Gentry	19-Mar-2019	30-Apr-2020
OSD NLOS 004 b	Trained arboricultural contractors carrying out spraying of Oak in previously infected areas. Funding secured, although costs may escalate.	A report detailing the costs and implications of OPM will come to the HHHWQP Committee in March 2019	Richard Gentry	19-Mar-2019	30-Apr-2020
OSD P&G 004 a	Ensure staff training is kept updated to enable timely identification of pest and knowledge of correct treatment/prevention.	Provision of staff training is ongoing. Info on training shared through HSIQ, Equalities Board, SLT, and other avenues.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD P&G 004 b	Annual tree inspections undertaken through qualified personnel through framework contract	Last set of tree inspections completed October 2018.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD P&G 004 c	Alerts issued to staff enabling additional checks to be undertaken as part of everyday working practice	Ongoing risk management action.	Martin Rodman	15-Mar-2019	30-Apr-2020
OSD P&G 004 d	Maintain relationships with industry bodies and neighbouring local authorities to ensure free flow of information.	Ongoing action.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD TC 004 a	Ensure staff training is kept updated to enable timely identification of pest and knowledge of correct treatment/prevention.	Ongoing. Training needs reviewed at regular team meetings, and proactively promoted via HSIQ and other corporate boards.	Hadyn Robson	19-Mar-2019	31-Mar-2022
OSD TC 004 b	Annual tree inspections undertaken through qualified personnel	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022
OSD TC 004 c	Active involvement with leading partners such as Forestry Commission and Natural England	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022
OSD TC 004 d	Measures in place for staff, volunteers and contractors including public messages	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022

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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>OSD 007</b> <b>Maintaining the City's water bodies summary risk</b> 30-Aug-2017 Colin Buttery	<p><b>This risk summaries the property maintenance risks across the Open Spaces Department.</b></p> <p>The City is responsible for a number of water bodies, some of which are classified as "Large Raised Reservoirs" under the provisions of the Reservoirs Act 1975 and the Flood &amp; Water Management Act 2010.</p> <p>Failure to adequately manage and maintain the City's reservoirs and dams could result in leaks, dam collapse or breach.</p> <p>For some of the City's large raised reservoirs there is the potential for loss of life, damage to property and infrastructure in the event of dam collapse or breach, and the associated reputational damage.</p> <p>This risk is felt to be of departmental concern due to potential for serious consequences, the possibility of legislative change and the possibility that significant capital projects could be required.</p> <p>The actions for this risk are the open actions from each of the divisional risk registers.</p>	 <p>Likelihood</p>	<p style="text-align: center;"><b>16</b></p>	Assessed by Senior Leadership Team. Risk remains at red. Details of work being undertaken is covered under the divisional risk registers.  <b>19 Mar 2019</b>	 <p>Likelihood</p>	<p style="text-align: center;"><b>8</b></p>	31-Mar-2022	 Constant

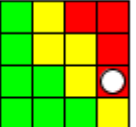

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
OSD EF 004 a	Statutory inspection visits by engineer - 6 monthly in May and October	Inspections completed in January. Several mitigation works have been completed. Discussion of Wanstead Park Lakes was undertaken. Large scale works still need to be undertaken to reduce this risk.	Martin Newnham; Geoff Sinclair	19-Mar-2019	30-Apr-2020
OSD EF 004 b	Complete works on the Eagle ponds and obtain approval for distribution of responsibilities. Survey the outward toe of the dam pending decision on shared responsibility with London Borough of Redbridge	Ongoing action - no significant developments since previous update.	Geoff Sinclair	19-Mar-2019	31-Dec-2022
OSD EF 004 c	Weekly inspection of reservoirs / dam. Review the use of penstock gates	Ongoing action.	Martin Newnham	15-Mar-2019	08-Apr-2020
OSD EF 004 e	Undertake scoping evaluations for Baldwins Pond and Birch Hall Park Pond	Ongoing action. Still awaiting further work.	Geoff Sinclair	15-Mar-2019	31-Dec-2022



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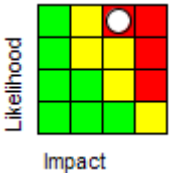
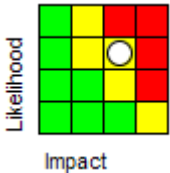

OSD NLOS 007 a	Training for lifeguards Training is ongoing activity Review annually	Ongoing -Training needs and requirements are identified in staff performance reviews and 1:1 meetings throughout the year.	Richard Gentry	18-Feb-2019	31-Mar-2020
OSD TC 006 a	Condition assessments carried out and options provided for approval Options costed Gateway 4 report drafted - Sept 16	Project at The Commons remains a goal for the future. Ongoing action to mitigate risk, to be updated as project moves forward.	Hadyn Robson	15-Mar-2019	31-Dec-2022
OSD TC 006 b	Inspections / monitoring od outflow condition Ongoing	All water bodies are actively monitored by relevant authorities within the City to ensure they comply with legislation.	Hadyn Robson	15-Mar-2019	31-Mar-2020

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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
SUR CB 003 City Bridges - Substantial vessel strikes  01-Nov-2018 Paul Wilkinson	<p><b>Cause:</b> Substantial Vessel strike</p> <p><b>Event:</b> Structural damage to bridge</p> <p><b>Impact:</b> Instability in bridge structure leading to possible collapse. Death / injury, disruption of traffic, reputational damage, additional costs to repair / replace</p>	 <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p>Impact</p>	<b>16</b>	<p>City Bridge Trust and Bridge House Estates are undertaking a governance review through an officer Task and Finish Group. The aspect of where risk ownership sits will be considered by this group in 2019.</p> <p>In the interim further discussions have taken place to put in place a Service Agreement between DBE and CSD to better manage responsibilities and information flow.</p> <p><b>04 Apr 2019</b></p>	 <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Likelihood</p> <p>Impact</p>	<b>16</b>	31-Mar-2020	Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
SUR CB 003a	Navigation controls	Navigation is controlled by the Port of London Authority and navigation lights fixed to bridges. Paul Monaghan is an on-going member of the River Crossings Liaison Group and is currently pursuing them for further meeting dates following their change in Chair. Paul Monaghan updates CSD at the quarterly meetings as to any actions, activities, or change in the risk status of this item.	Nicholas Gill; Peter Young	01-Mar-2019	31-Mar-2020

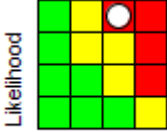


### Appendix 3a

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
SUR CB 006 City Bridges: - Wanton Damage / Terrorism  01-Nov-2018 Paul Wilkinson	<p><b>Cause:</b> Wanton Damage / Terrorism</p> <p><b>Event:</b> Structural damage to bridge/s</p> <p><b>Impact:</b> Instability in bridge structure , reputational damage, disruption to traffic, additional costs to repair / replace</p>	 <p>16</p>	<p>The Comptroller and City Solicitor has registered the City of London as an interested party for the inquiry into the London Bridge incident. The organisation has been supporting this by providing correspondence as required.</p> <p>City Bridge Trust and Bridge House Estates are undertaking a governance review through an officer Task and Finish Group. The aspect of where risk ownership sits will be considered by this group in 2019.</p> <p>In the interim further discussions have taken place to put in place a Service Agreement between DBE and CSD to better manage responsibilities and information flow.</p> <p><b>01 Mar 2019</b></p>	 <p>12</p>	31-Mar-2020	  Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
SUR CB 006a	Counter Terrorism	Sequence of joint workshops were hosted by TFL over July. This involved TFL, the City Police, the MET Police and DBE. This investigated the risks associated with key bridges, with a different assessment made depending on the bridge. MET Police have yet to provide paperwork and are awaiting clearance to do so – will be assessed once received.. Temporary mitigation by the Metropolitan Police remains in place, but this is not full Hostile Vehicle Mitigation.	Nicholas Gill; Paul Monaghan; Peter Young	01-Mar-2019	31-Mar-2020
SUR CB 006b	Policing	The Bridge House Estate pay additional precept to the City of London Police to provide policing to the bridges.	Nicholas Gill; Paul Monaghan;	01-Mar-2019	31-Mar-2020

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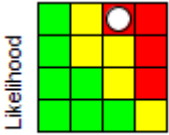
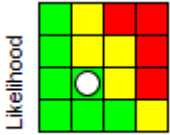

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
SUR CB 007 City Bridges: - Tunnelling for the Thames Tideway Tunnel          01-Nov-2018 Paul Wilkinson	<p><b>Cause:</b> Tunnelling for the Thames Tideway Tunnel effects bridge structures</p> <p><b>Event:</b> Bridge/s become inoperable or have reduced operability</p> <p><b>Impact:</b> Closure, reputational damage, disruption to traffic, additional costs to repair / replace</p>	 Likelihood Impact	16	<p>The tunnelling is expected to conclude in 2019, although currently the tunnelling is slightly behind schedule. It is expected that this risk, should it not materialise, will diminish significantly from this time. Works are on-going presently (March 2019) near Blackfriars Bridge.</p> <p>City Bridge Trust and Bridge House Estates are undertaking a governance review through an officer Task and Finish Group. The aspect of where risk ownership sits will be considered by this group in 2019.</p> <p>In the interim further discussions have taken place to put in place a Service Agreement between DBE and CSD to better manage responsibilities and information flow.</p> <p><b>01 Mar 2019</b></p>	 Likelihood Impact	16	31-Mar-2021	          Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
SUR CB 007d	Tideway Tunnelling	<p>The City's Engineer, Paul Monaghan is working with the Comptroller and City Solicitor through the Development Consent Order and negotiated protection for the river crossings and, in the case of Tower Bridge, reduced face loss. He and the engineering team are working with the planning lead, Ted Rayment, to ensure that these requirements are being met. Regular weekly, monthly and quarterly meetings take place with the respective parts of TTT. For support they have the existing commission with an external engineering consultant appointed for the inspection of river crossings.</p>	Nicholas Gill; Peter Young	01-Mar-2019	31-Mar-2021

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SUR CB 007e	Monitoring & Works	Monitoring is on-going on the bridge sites to ensure that risks are managed. Monitoring at Tower Bridge has been in place for circa three years. Millennium Bridge has had its tensioning adjusted to account for any movement.	Paul Wilkinson	01-Mar-2019	31-Mar-2021
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## Appendix 3a

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>TC TCO 05 Customer Relationship Management System</b>  20-Nov-2015 John Barradell; Damian Nussbaum; Angela Roach	Cause: Outdated software that is no longer supported stops working or will no longer work with our network environment Event: Failure of the CRM system Effect: Loss of critical data, Contact Centre, C.O.D team unable to effectively carry out their duties.	 Likelihood	16  Impact	The new platform is functional and undergoing bug-fixing by IT while users are being trained on the application and starting to manage their records. IT configuration of events is ongoing.  The new Head of Business Intelligence and Insight started on 29th March in the Business Intelligence Unit, which is running the SEEM function.  <b>01 Apr 2019</b>	 Likelihood	4  Impact	30-Apr-2019	  Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
TCTCO5D	The Corporation has procured a new system tailored to the needs of the Contact Centre ("Firmstep"). We are now implementing the new system.	Risk to be downgraded once have signed off Events Management system - Due end of April 2019	Sam Collins	01-Apr-2019	30-Apr-2019
TCTCO5E	The Corporation has a procured a new platform (City Dynamics) and is configuring a new application tailored to the needs of strategic engagement and events management (SEEM) that will support compliance with new data protection law. The strategic engagement function will be implemented in early Summer, followed by the events management function in early Autumn. The solution for Strategic Engagement is currently undergoing System Testing and will be made available for UAT shortly.	The new platform is functional and undergoing bug-fixing by IT while users are being trained on the application and starting to manage their records. IT configuration of events is ongoing.  The new Head of Business Intelligence and Insight started on 29th March in the Business Intelligence Unit, which is running the SEEM function.	Damian Nussbaum	01-Apr-2019	30-Apr-2019