

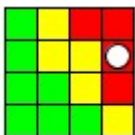
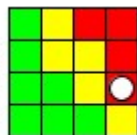



## Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

Generated on: 05 November 2019

Rows are sorted by Risk Score

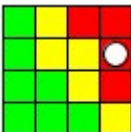
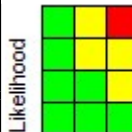

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR20 Road Safety</b>  23-Oct-2015 Carolyn Dwyer	<p><b>Cause:</b> Limited space on the City's medieval street network to cope with the increased use of the highway by vehicles, pedestrians and cyclists within the City of London. Interventions and legal processes take time to deliver SAFELY AND EFFECTIVELY</p> <p><b>Event:</b> The City Corporation's statutory duties and the measures outlined in the Transport Strategy are not fully and effectively implemented.</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>•The number of casualties occurring on the City's streets rises or remains unchanged instead of reducing</li> <li>•The safety and feeling of safety of the City's communities is adversely affected (Corporate Plan Outcome 1)</li> <li>•Physical or mental harm suffered by those involved in collisions and their associates</li> <li>•Economic costs of collisions impact on INDIVIDUALS, City businesses and wider society</li> <li>•The City Corporation's ABILITY TO IMPROVE ROAD SAFETY is adversely impacted with businesses and/or the public BY VIRTUE OF A LOSS OF CREDIBILITY AND/OR AUTHORITY</li> </ul>	 <p>Likelihood</p> <p>Impact</p>	24	The risk assessment is unchanged, reflecting the probability that a fatality is fairly likely to occur while mitigation measures are being implemented.  <b>11 Oct 2019</b>	 <p>Likelihood</p> <p>Impact</p>	16	31-Mar-2022	  Constant

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(revised risk description 27/6/19)						
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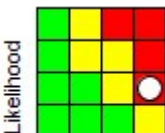


Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20l	<p>A programme of projects to reduce road danger on the City's streets including:</p> <ul style="list-style-type: none"> <li>• Bank on Safety and All Change at Bank</li> <li>• RDR engineering programme</li> <li>• 15mph traffic limit</li> <li>• Ludgate Circus (lead by TfL)</li> </ul>	Bank on Safety interim scheme expected to begin delivery in Q3. Continuing to engage with TfL on Ludgate Circus and improvements to the junction at Bevis Marks/Wormwood and Bishopsgate and the Fenchurch Street/Lombard Street/Gracechurch Street Junction. Speed surveys commissioned to help inform development of 15mph limit. Feasibility designs completed for improvements to Gresham Street/Old Jewry, Creechurch Lane/Leadenhall/ St and Gresham Street/Wood Street.	Zahur Khan	11-Oct-2019	31-Mar-2022
CR20m	<p>Campaigns and engagement activities to encourage safe behaviours and promote safe vehicles, including:</p> <ul style="list-style-type: none"> <li>• Active City Network</li> <li>• User and stakeholder liaison</li> <li>• Schools programme</li> </ul>	Over the summer, the RDR and Behaviour Change team delivered two week long Lunchtime Street events. We engaged with businesses along Chancery Lane and St Mary Axe to create a traffic free lunchtime to assess positive and negative impacts. No major traffic issues or problems with deliveries were reported, while over 90% of those surveyed on street supported traffic free lunchtimes. The positive engagement will support the delivery of the City Cluster Vision and other projects to make City streets safer and better for people on foot.	Zahur Khan	14-Oct-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>CR24 Operational Security</b> 07-Jun-2017 John Barradell	<b>Cause:</b> Inadequate, poorly maintained or time expired security infrastructure; lack of security culture within the organisation; poor training or organisation of staff; insufficient staff. <b>Event:</b> Security of an operational property is breached. <b>Effect:</b> Unauthorised access to building by criminals/protestors/terrorists; disruption of business/ high profile events; reputational damage; injury or potential loss of life amongst staff or members of the general public	 Likelihood	24	Location B physical works now complete, CCTV upgrade still awaited. <b>04 Nov 2019</b>	 Likelihood	16	30-Apr-2020	 Constant

Action no	Action description	Latest Note		Action owner	Latest Note Date	Due Date
CR24a	Deliver a programme of security infrastructure enhancements	CR24 A location 7 was approved in October 2019 and expected to commence works in February 2020		Paul Wilkinson	04-Nov-2019	30-Apr-2020
CR24b	Mitigating risk of vehicle borne attacks across Corporation estate.	Target hardening to six high risk sites is now complete since the last deep dive, three areas have temporary mitigation in place whilst permanent solutions are in design and construction. There are three in detailed design and three under construction		Carolyn Dwyer; Paul Wilkinson	04-Nov-2019	30-Apr-2020
CR24c	Protecting CR24 location A for major events by installing HVM.	CR24 location A: 7 areas now complete and final design sign off for the last mitigation in hand, detailed design in process		Carolyn Dwyer; Richard Woolford	04-Nov-2019	30-Apr-2020

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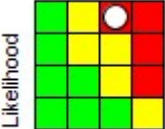
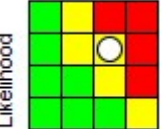

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR17 Safeguarding</b>  22-Sep-2014 Andrew Carter	<b>Cause:</b> Not providing appropriate training to staff or members; not providing effective leadership, management or supervision; poor case management, information sharing or actions. <b>Event:</b> Failure to deliver actions under the City of London's Corporate Safeguarding Policy. All staff (and in particular social workers & teachers) not taking appropriate action in relation to safeguarding issues. <b>Effect:</b> Physical or mental harm suffered by a child or vulnerable adult, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted. (Risk description revised June 2019)	 Likelihood Impact	16	The new local safeguarding partnership arrangements have now been put in place.  There have been some issues with the Emergency Duty Team based at Hackney Council accessing the City of London Social care information system and the risk rating has increased as a result of this. A proposal for a long-term solution has been agreed and work to implement this is ongoing.  <b>29 Oct 2019</b>	 Likelihood Impact	8	31-Mar-2020	  Constant

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. A preferred option to address the issues has now been agreed and work is ongoing to implement this. Some unexpected complications have meant that the implementation of the permanent solution has been delayed and is not anticipated by end of November. In the meantime the Hackney out of hours staff have been provided with CoL loan laptops so that they can access the CoL version of the social care information system directly.	Hasna Begum; Sharon McLaughlin	29-Oct-2019	31-Oct-2019
CR17U	DCCS will be working with Town Clerks Department to deliver a Member briefing programme in 2019 that will	The aim of the sessions is to raise awareness of Member responsibilities in respect of safeguarding. The briefings will include;	Chris Pelham	05-Sep-2019	31-Dec-2019

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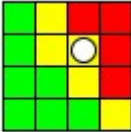
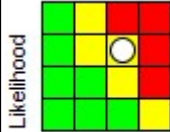

	enhance member knowledge and understanding of key safeguarding areas across children and adults.	<ul style="list-style-type: none"> <li>• The Mental Capacity Act and Making Safeguarding Personal.</li> <li>• Adult Social Care</li> <li>• Rough Sleepers</li> <li>• SEND/Safeguarding- Education and Safeguarding</li> <li>• The role of Corporate Parent- Children's Social Care</li> </ul>			
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 focused on:</p> <ul style="list-style-type: none"> <li>• The safeguarding responsibilities of each of the City of London's departments</li> <li>• Departmental heads' understanding of these responsibilities</li> <li>• Governance structures for monitoring and reporting safeguarding issues</li> <li>• Responses to safeguarding incidents and how these were reported to the relevant committee(s)</li> </ul> <p>Chief Officers will be required to submit an annual report on safeguarding concerns this will include nil returns. Collation of this information will enable an analysis of the volume and nature of safeguarding issues across the organisation.</p>	Chris Pelham	11-Sep-2019	31-Oct-2019
CR17W	Family of Schools Safeguarding Review concluded on 29 March 2019. An overview report on the findings and recommendations is being submitted to the Education Board meeting on 12 July 2019 and to Safeguarding Sub-Committee on 3 October 2019.	<p>A Safeguarding Consultant has developed individual reports for each school and will work with City Corporation and schools from Sept-Nov 2019 to implement recommendations.</p> <p>As part of the implementation of the recommendations from the review, the Education Unit will commission advanced safeguarding training for school Designated Safeguarding Leads and Safeguarding Governors on an annual basis.</p>	Anne Bamford	29-Oct-2019	31-Dec-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
CR23 Police Funding	<p><b>Cause:</b> Reduction in government funding, workforce costs and growing demand in Policing services leading to pressures for the City Fund -Police.</p> <p><b>Event:</b> Reduction in government funding. Failure to deliver VfM savings. Budget deficit forecast for next 5 years requiring action to balance the budget</p> <p><b>Effect:</b> Potential impact on security and safety in the City as need to make savings, prioritise activity, review funding City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium-Term Financial Plan.</p>	 <p>Likelihood</p> <p>Impact</p>	16	<p>An updated medium-term financial projection for the Police was shared at the July RASC away day, which proposed an increase in resource allocation to the extent of the approved growth bid of 67 roles (£5.4m in 20/21), with the remaining aspects of the identified deficits to be resolved within the existing resource base of the City of London Police - through savings measures linked to its Transform programme, which will include shared services. The projections explicitly excluded capital repayment assumptions pending identification by the Force of its medium-term capital priorities. These priorities will be submitted to the November Police Authority Board, with approval then being sought at the December RASC meeting, based on a future loan-based model for Police capital funding, and with the medium-term and Police budget 'revenue' implications arising from it being clarified. The Spending Round outcome for the Police will not be known before December 2019, and will be limited to 20/21 with a multi-year Spending Review to follow in 2020.</p>	 <p>Likelihood</p> <p>Impact</p>	12	31-Mar-2020	
21-Nov-2016 Ian Dyson; Peter Kane				04 Nov 2019				Constant

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR23g	Implement sustainable medium-term financial settlement for CoLP: - Revenue position Capital financing	Oct / Nov 2019 – MTFP assumptions have been further developed post-July RASC session to enable decisions to be made in autumn Committee cycle and beyond, in light also of Spending Round outcome. Capital financing assumption being incorporated into revenue MTFP based on CoLP work to identify its medium-term capital priorities.	Alistair Cook	04-Nov-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
<b>CR01 Resilience Risk</b>          20-Mar-2015 John Barradell	<b>Cause</b> - Lack of appropriate planning, leadership and coordination <b>Event</b> - Emergency situation related to terrorism or other serious event/major incident is not managed effectively <b>Effect</b> - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business.	 Likelihood Impact	12	<ul style="list-style-type: none"> <li>Business Continuity training complete. Action plan now in place to implement key recommendations from the training and BIA process</li> <li>BECC Training session complete, process and call out still to be finalised . Cycle of training to continue</li> </ul> 05 Nov 2019	 Likelihood Impact	12	30-Apr-2020	          Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
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	Action place now in place to implement key recommendations from the training and BIA process	Gary Locker	05-Nov-2019	30-Apr-2020

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	oversight of the Col business impact analysis, identifying its most critical business areas				
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	05-Nov-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	05-Nov-2019	31-Dec-2019
CR01Q	Plan an annual calendar of IT DR tests, covering critical systems and services	Rolling DR Tests have commenced.  Papers describing this have been submitted to Audit and Risk and Digital Services Subcommittees	Matt Gosden	05-Nov-2019	31-Mar-2020
CR01R	All COL and COLP comms and data rooms are being audited with a view to: <ul style="list-style-type: none"> <li>Assessing power and security provision</li> <li>Update the Comms Room Policy and MoU with City Surveyors, including categorisation of rooms into critical and non-critical.</li> </ul> Provide recommendations for a project to improve the power/UPS resiliency in these rooms.	Audits almost complete.  Report due to be completed by mid-Dec 2019 with recommendations for process of ongoing assurance and compliance and upgrade works to achieve minimum standards (subject to Capital bid.)	Matt Gosden; Kevin Mulcahy	05-Nov-2019	31-Dec-2019



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CR02 Loss of Business Support for the City	<p><b>Cause</b> - The City Corporation's actions to promote and support the competitiveness of the business City do not succeed.</p> <p><b>Event</b> - The City's position as the world leader in international financial services is adversely affected</p> <p><b>Effect</b> - The City loses its ability to attract and retain high value global business activity, both as a physical location and in mediating financial and trade flows; the City Corporation's business remit is damaged, and its perceived relevance is diminished. Reputational damage to the City as a place to do business and to Corporation ability to govern effectively</p>	<p>Likelihood</p> <p>Impact</p>	12	<p>We have actively contributed to UK Government led initiatives with other markets on FinTech. A new Green Finance Institute was launched at the Green Finance Summit we hosted on 1/7/19. 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, now called future.now and the Financial Services Skills Taskforce. Have recently hosted the Innovate Finance Global Summit for FinTech and international conference on Green Finance.</p> <p>Engagement with policymakers and businesses at the 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>	<p>Likelihood</p> <p>Impact</p>	8	30-Apr-2020	<div style="width: 10px; height: 10px; background-color: blue;"></div>
22-Sep-2014 Damian Nussbaum				04 Nov 2019				Constant

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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 was launched at the Green Finance Summit we hosted on 1/7/19. A new Cyber strategy has been agreed with the City Police, and new work programmes on infrastructure and development finance are underway.</p> <p>Supporting the developing programme of work on digital skills through future.now and the Financial Services Skills Taskforce</p> <p>New initiative is supporting the launch of the Impact Investment Institute.</p> <p>Hosted the Innovate Finance Global Summit for FinTech and the international Green Finance summit.</p> <p>Engagement with policymakers and businesses at the 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> <p>Campaign to be launched to encourage US based Venture Capital firms to invest more in UK based tech businesses</p>	Damian Nussbaum	04-Nov-2019	31-Jan-2020

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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 80% progressed.	Sarah Blogg; Nikki Jago; Justin Tyas	16-Oct-2019	31-Dec-2019

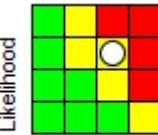
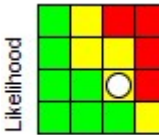

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR10a	Monitoring of Government legislation and proposed regulatory changes.	Relevant Bills in the Government's legislative programme will be identified and City Corporation departments alerted to issues of potential significance as the measures are introduced in the new Session. Action taken through negotiation with departmental officials or	Paul Double	04-Nov-2019	31-Mar-2020

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		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 a key priority.			
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	04-Nov-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 or if it is not. 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	04-Nov-2019	31-Mar-2020

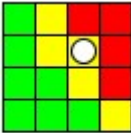
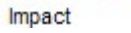
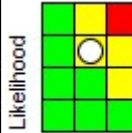


Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR16 Information Security (formerly CHB IT 030)</b>  10-May-2019 Peter Kane	<b>Cause:</b> Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. <b>Event:</b> The City Corporation does not adequately prepare, maintain robust (and where appropriate improve) effective IT security systems and procedures. <b>Effect:</b> Failure of all or part of the IT Infrastructure, with associated business systems failures. Harm to individuals, a breach of legislation such as the Data Protection Act 2018. Incur a monetary penalty of up to €20M. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.	 Likelihood Impact	12	Following review with A&R committee and DSSC it was agreed that further steps were required to achieve maturity level that could bring the score to its target. As a result of the Deep dive report to A&RMC in September 2019, the risk description has been amended to reflect an emphasis on CoL preparedness.  <b>09 Oct 2019</b>	 Likelihood Impact	8	31-Dec-2020	  Constant

Action no	Action description	Latest Note			Action owner	Latest Note Date	Due Date
CR16k	Final stages of completing information security projects which will mean that we can assure Members that the City of London Corporation has implemented all the national	Information Security projects are being delivered as planned. The Information Security team recommended to the Audit and Risk Committee that this risk is reduced to Amber.			Gary Brailsford-Hart	09-Oct-2019	31-Dec-2020

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	government recommended security practices and technology achieving a maturity level of 4.	<p>Move towards a continuous improvement model is being adopted to ensure the controls in place are embedded, mature and reflective of emergent threats and risks in order to provide appropriate assurance surrounding preparedness.</p> <p>This is a dynamic risk area and whilst the maturity of 4 is the target, the control scores will go down as well as up as threats, risks and vulnerabilities change.</p>			
CR16l	New toolkit for monitoring and managing the security risk being discussed with the Digital Services Sub-Committee at their meeting on the 30th May 2019.	<p>Recommending that the Digital Services Sub Committee adopts an additional tracking tool called the Cyber Security Board Toolkit</p> <p>This was agreed at last DSSC and a member's workshop is being arranged.</p>	Gary Brailsford-Hart	09-Oct-2019	30-Nov-2019
CR16m	Review of how Cyber risk is identified, analysed and monitored – the expectation is we should be moving beyond compliance measuring (Ten Steps) and seeking to integrate cyber security into organisational risk management processes.	<p>Compliance and security are <b>not</b> the same thing. They may overlap, but compliance with common security standards can coexist with, and mask, very weak security practices. <b>Good risk management should go beyond just compliance.</b> Good risk management should give insight into the health of the City of London and identify opportunities and potential issues.</p> <p>Many of our organisational risks will have a cyber component to them. Cyber security risk should therefore be integrated with our organisational approach to risk management. Dealing with cyber security risk as a standalone topic (or considering it simply in terms of 'IT risk') will make it hard for us to recognise the wider implications of those cyber security risks, or to consider all the other organisational risks that will have an impact on cyber security</p>	Gary Brailsford-Hart	09-Oct-2019	31-Dec-2020

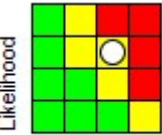
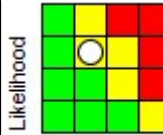
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<b>CR21 Air Quality</b> 07-Oct-2015 Ruth Calderwood	<p><b>Cause:</b> Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p><b>Event:</b> Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p><b>Effect:</b> The consequences both acute and chronic may include:            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  <b>05 Sep 2019</b>	 <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 001h	Develop baseline model for compliance assessment and publish annual report of air quality data	2018 annual report presented to PHES committee Sept 2019 and available on Corporation web site	Ruth Calderwood	24-Sep-2019	31-Dec-2025
CR21 001i	100% of vehicles owned or leased by the CoL are electric or hybrid by 2025	We are working to ensure that 100% of vehicles owned or leased by the CoL are electric or hybrid by 2025	Ruth Calderwood	20-Sep-2019	31-Dec-2025

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CR21 001j	Develop and support an Emission Reduction Private Members Bill for London local authorities	Draft Bill has been developed with London Councils and we intend to support the introduction of Bill to parliament Dec 2019	Ruth Calderwood	20-Sep-2019	31-Dec-2021
CR21 001k	Manage pan London idling vehicle engine programme	Funding applied for and project managers appointed.	Ruth Calderwood	20-Sep-2019	20-Mar-2020

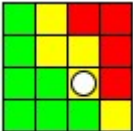

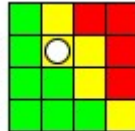
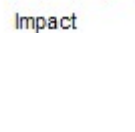

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR29 <b>Information Management</b>          08-Apr-2019 John Barradell	<p><b>Cause:</b> Lack of officer commitment and investment of the right resources into organisational information management systems and culture.</p> <p><b>Event:</b> The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>• Not being able to use relevant information to draw insights and intelligence and support good decision-making</li> <li>• Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action</li> <li>• Waste of resources storing information beyond usefulness</li> </ul>	 <p>Likelihood</p> <p>Impact</p>	12	<ul style="list-style-type: none"> <li>• Summit have agreed new IM Metrics and a new IM Governance model</li> <li>• Summit have agreed a new Records Management Policy</li> <li>• The Business Intelligence infrastructure is now set up with an Azure platform</li> </ul> <p><b>14 Oct 2019</b></p>	 <p>Likelihood</p> <p>Impact</p>	6	30-Jun-2020	Constant



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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR29a	Ensure that CoL has the necessary awareness, tools and, skills to manage information effectively	<ul style="list-style-type: none"> <li>• Work with the Head of Communications to communicate/raise awareness the IM Strategy and Policies. Provide training in SharePoint in preparation for migrating the Shared drives. Implement protective marking and information classification in CoL. Sharepoint to become the Corporate document management solution.</li> <li>• Launch of protective marking, IM training and communication will be in November 2019</li> </ul>	Sean Green	14-Oct-2019	30-Nov-2019
CR29b	Start the culture change by Integrating good information management practice into the Leadership and Management stand of the City of London Learning Academy	<ul style="list-style-type: none"> <li>• HR to work with the IT and the Corporate Strategy and Performance teams to identify the key skills required for good information management. HR to then develop the training to support this.</li> <li>• HR to review where in HR policies and procedures this can be integrated. HR to Work with the senior leadership team to develop a plan and then deliver key messages and communications on the importance, relevance and benefits of good information management.</li> <li>• Meeting held with HR who have agreed to support the development of training for the November launch</li> </ul> <p>Further work to be carried out to develop new IM competencies for all staff Job Descriptions</p>	Chrissie Morgan	14-Oct-2019	31-Mar-2020
CR29e	Ensure that CoL has the necessary checks, balances and oversight to ensure successful implementation of the IM Strategy	<ul style="list-style-type: none"> <li>• The Digital Services Task and Finish group to be established to provide governance and assurance that the strategy is being delivered. New IM Policies and compliance are already governed via the IM Governance Board.</li> <li>• Meeting of this group booked has been delayed new date to be advised</li> </ul>	Sean Green	14-Oct-2019	31-Dec-2019
CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	<ul style="list-style-type: none"> <li>• Put in place a new Data retention and discovery tool set to ensure we only retain and archive information in line with the agreed policy and retention schedule.</li> <li>• Plan to use readily available MS tools and pilot the move of shared drives to MS Teams</li> <li>• Business case for capital investment in automated MS tools being developed for submission for funding in 2020. – Protective marking tool to be launched in November 2019.</li> </ul>	Sean Green	14-Oct-2019	31-Mar-2020

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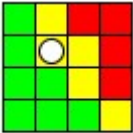
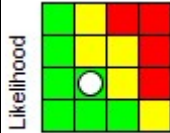

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR26 Brexit - Organisational Impact	<p><b>Cause</b> – The outcome of Brexit negotiations does not secure continuity of contracts, access to talent, ongoing grant funding and/or security of supply chains</p> <p><b>Event</b> – The City Corporation services fail to prepare appropriately for the UK departure from the EU on 31 October, 2019.</p> <p><b>Effect</b> – There are a range of potential impacts. The City Corporation's services are disrupted as supply chains and contracts are reassessed, potentially increasing cost and reprioritisation of resources. Uncertainty over multi-year grants may undermine the City Corporation's ability to deliver or commit to services. The City Corporation may be unable to access the specialist talent and supply chains it needs to deliver some of its services.</p>	 <p>Likelihood</p>  <p>Impact</p>	8	<ul style="list-style-type: none"> <li>• Corporation officers attending City of London Police Brexit Planning and Gold Command meetings.</li> <li>• The City Corporation is providing information as part of the weekly data submissions to MHCLG via London Councils.</li> <li>• Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness.</li> <li>• Sufina Ahmad and Simon Latham have been nominated as the Corporation's point of contact for MHCLG and London Councils briefings and work on this.</li> <li>• A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed.</li> <li>• The Town Clerk is chairing the London Strategic Coordination Group</li> <li>• Engaging with political stakeholders at a central, regional and local level, including MPs, remains vital. The City Corporation must ensure that it is coordinated in its approaches to political stakeholders, with key departments and teams maintaining oversight – namely the Remembrancer's, Communications Teams (including Corporate Affairs) and the Town Clerk and Chief Executive's Office.</li> <li>• The organisation is developing a</li> </ul>	 <p>Likelihood</p>  <p>Impact</p>	6	31-Jan-2020	

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11-Oct-2018 John Barradell				short, medium and long term action plan on its role in supporting with the UK's departure from the EU. This is being coordinated by Sufina Ahmad  <b>04 Nov 2019</b>				Constant
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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"> <li>• Corporation officers attending City of London Police Brexit Planning and Gold Command meetings.</li> <li>• The City Corporation is providing information as part of the weekly submissions to MHCLG via London Councils.</li> <li>• Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness.</li> <li>• Simon Latham has been nominated as the Corporation's point of contact for MHCLG and London Councils briefings and work on this, with support from Sufina Ahmad when Simon is unavailable/less available.</li> <li>• A review of the various Brexit risks is being undertaken by Summit Group and Chief Officers at Brexit Planning Meetings, and a number of additions to the register and changes to scores are being agreed.</li> <li>• The Brexit Planning Meetings are taking place weekly.</li> <li>• The Town Clerk is chairing the London Strategic Coordination Group.</li> <li>• Work now underway to develop a short, medium and long-term action plan regarding the City Corporation's role in managing Brexit for its key stakeholders</li> </ul>	Simon Latham	25-Oct-2019	31-Jan-2020
CR26c	Effective corporate coordination of communications with political and government stakeholders at a central, regional and local level is vital, to ensure that the organisation speaks with one voice and to agreed lines.	The necessity to continue engaging with political and government stakeholders at a central, regional and local level, including MPs, remains vital. The City Corporation must ensure that it is coordinated in its approaches to political and government stakeholders, with key departments and teams maintaining oversight – namely the Remembrancer's, Communications Teams (including Corporate Affairs) and the Town Clerk and Chief Executive's Office	John Barradell; Paul Double; Simon Latham; Bob Roberts	25-Oct-2019	31-Jan-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
<b>CR25 General Data Protection Regulation Compliance</b>	<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>The Mazars GDPR Compliance Review draft audit report undertaken in July &amp; August 2019 was received on 11.09.2019 and reviewed by the DPO and C&amp;CS Information Compliance Manager on 12.09.2019.</p> <p>The draft audit report rated GDPR compliance as amber 'an adequate control framework is in place but there are weaknesses and or a lack of compliance which may put some system objectives at risk'.</p> <p>Some suggested amendments to the report findings were made and the revised report is awaited, the core findings and recommendations remain unchanged.</p> <p><b>The findings and recommendations relate to departmental compliance as follows:</b></p> <p>1. Corporate 'w' drive where obsolete data is held and to which all staff have access to personal data. There is a risk of failure to comply with the Data Protection Act 2018.</p> <p><b>Recommendation:</b> All data permanently held on the W drive should be reviewed and either deleted or transferred to a more secure location. Staff should be given clear instructions on the use restrictions of the W drive.</p>	 <p>Likelihood</p> <p>Impact</p>	4	30-Sep-2019	

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01-Dec-2017			<p>2. Records retention schedules for two departments have not yet been finalised, there is a risk that personal data may not be deleted at the required expiry date.</p> <p><b>Recommendation:</b> Outstanding records retention schedules should be finalised in a timely manner.</p> <p>3. Data protection audits in departments (undertaken by departments) have not been carried out on a regular basis, audits that were carried out did not include records retention schedules. Where compliance with disposal dates included in retention schedules is not regularly monitored there is a risk that obsolete data will be retained resulting in non-compliance with the Data Protection Act 2018.</p> <p><b>Recommendation:</b> Each department should carry out regular data protection audits which should include checks on compliance with disposal dates for categories of data specified in record retention schedules. Results of the audits should be notified to the C&amp;CS Information Compliance Team.</p>			Constant
			25 Sep 2019			

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Michael Cogher							
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR25h	<ul style="list-style-type: none"> <li>Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule.</li> <li>GDPR compliance team to advise and review departmental retention schedules and liaise with departmental AIN representatives on required improvements.</li> </ul>	Retention schedules for 5 departments are nearing completion	Michael Cogher	26-Jun-2019	30-Jun-2019
CR25l	<ul style="list-style-type: none"> <li>Paper to summit group on deletion of W drive data.</li> <li>Data discovery tool procurement</li> </ul>	<p>1. IS to deliver a business case to secure funding for a data discovery tool.</p> <p>2. Deputy IT Director &amp; Head of Business Change and Engagement are developing a proposal for the management of the W:Drive.</p>	Matt Gosden; Sean Green	26-Jun-2019	30-Sep-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
CR27 Change Management	<p><b>Cause:</b> 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><b>Event:</b> poorly managed and ineffective change</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>• Disruption to service, poor performance and damage to reputation</li> <li>• Outcomes not achieved, reduction in benefits (financial and non-financial)</li> <li>• Failure to change or keep up with change, organisational paralysis and reduction in ability to remain relevant</li> <li>• Adverse impacts on external stakeholders including businesses and residents.</li> <li>• Loss of valued staff and / or negative mental health impacts for staff.</li> </ul>	<p>Likelihood</p> <p>Impact</p>	6	<ul style="list-style-type: none"> <li>• Corporate Strategy &amp; Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently</li> <li>• Plan is to bring these capabilities together as part of a single, streamlined officer governance system in 2020-21.</li> <li>• Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements</li> <li>• 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. All Fundamental Review / staff survey sessions now completed. Approved Corporate Strategy &amp; Performance Team re-organisation includes two new permanent posts with responsibility for providing comms colleagues with clear messaging to be used in comms to staff and stakeholders.</li> <li>• A change team is being put together for specific support for the anticipated changes due to fundamental review, monitoring of redundancies for the notification to BEIS ( Business, Energy and Industrial Strategy ) is</li> </ul>	<p>Likelihood</p> <p>Impact</p>	4	31-Mar-2020	

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05-Dec-2018 John Barradell				<p>already established. Although the changes as a direct result of FR will be some way off, departments are obviously preparing for this and there are 5 restructures in JE at the moment. A Change Took Kit is also available.</p> <ul style="list-style-type: none"> <li>• The L&amp;OD team are building support for Managers, Teams and Individuals to manage the review period and the subsequent changes in the most effective way possible. Team support will include interventions and individual support will include information advice and guidance. The L&amp;OD team are also working with IT on training for staff to adopt and make best use of available technologies to both drive and support change.</li> <li>• The Policy Team are reviewing the policies and procedures around change and change management.</li> </ul> <p><b>28 Oct 2019</b></p>				Constant
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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"> <li>• Corporate Strategy &amp; 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</li> <li>• Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements</li> </ul>	Kate Smith	28-Oct-2019	31-Mar-2020



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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. All Fundamental Review / staff survey sessions now completed. Approved Corporate Strategy & Performance Team re-organisation includes two new permanent posts with responsibility for providing comms colleagues with clear messaging to be used in comms to staff and stakeholders.	Kate Smith	28-Oct-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"> <li>• A Change Management support team has been established this is scrutinising change proposals where they involve restructures and potential redundancies, this panel is also a preassessment panel for job evaluation and absorbs the monitoring of redundancies for the notification to BEIS ( Business, Energy and Industrial Strategy ).</li> <li>• A Change Took Kit is also available alongside the change modules on City Learning.</li> <li>• The L&amp;OD team are building support for Managers, Teams and Individuals to manage the review period and the subsequent changes in the most effective way possible. Several team interventions have already taken place and the managers and individual support modules will be rolled out this month. Team support will include interventions and individual support will include information advice and guidance. The L&amp;OD team are also working with IT on training for staff to adopt and make best use of available technologies to both drive and support change.</li> <li>• The Policy Team are reviewing the policies and procedures around change and change management.</li> </ul>	Chrissie Morgan	28-Oct-2019	31-Dec-2019