



Top Red Departmental Risk Register - Detailed Report

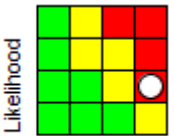
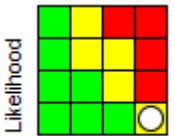

Report Author: Paul Dudley
Generated on: 22 August 2016

Rows are sorted by Risk Score


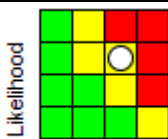

Code & Title: DBE TP Transportation and Public Realm 1 DCCS HS Housing Services 1 DCCS PE People Division 1 GSMD EFI GSMD Estates, Facilities and Infrastructure 1 GSMD POS GSMD Policy, Organisation and Strategic Planning 1 OSD Department of Open Spaces Risk Register 1 SUR SMT Senior Management Team - DEPARTMENTAL RISKS 1

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
DCCS PE 002 Failure to deliver expansion of Sir John Cass Foundation Primary School to 2 form entry in September 2017 11-Jun-2015 Ade Adetosoye	Cause Expansion not delivered Event Building project not completed Effect Lack of first choice school places for City children		24	The risk remains at RED as negotiations are continuing and the target date for the resolution to this risk (i.e. 2 form entry) has been amended to September 2017. Officers attended the Sir John Cass's Foundation Board meeting in August and further information e.g. cost projections and estimates of City of London pupils have been requested by the Board before making a decision. 22 Aug 2016		2	31-Aug-2017	↔ No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 002a Tripartite meetings	Tripartite meetings take place between the Sir John Cass Foundation, Sir John Cass Foundation School Board of Governors and the City of London have taken place but no further meetings have been scheduled.	Tripartite meeting have reconvened and the first meeting will take place on 19 April 2016	Chris Pelham	23-May-2016	19-Apr-2017
DCCS PE 002b Discussions with Comptroller and City Solicitor and others regarding the expansion	Efforts to engage with parties to the negotiation continue	Although agreement has now been reached to operate a bulge class in September 2016, the City Corporation is still seeking a permanent expansion to a 2 form entry. The risk remains at RED as negotiations are continuing and the target date for the resolution to this risk has been amended to September 2017. Officers attended the Board meeting in July and further information has been requested by the Board before making a decision.	Chris Pelham	01-Aug-2016	31-Aug-2016

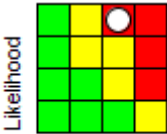
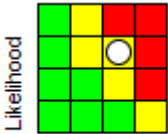

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DBE-TP-01 Road Traffic Collision caused by City of London staff or contractor who is unfit to drive while on City business 13-Mar-2015 Steve Presland	Cause: A member of staff/contractor who is unfit or unqualified to drive causes ... Event: a road traffic collision which results in ... Impact: death or injury; financial claim	 Likelihood	16	The risk will be reduced to Amber from Mid-September once all departments have been written to via Chief officers with all procedures and information to implement the Corporate Transport policy and staff start reading the policy and carryout the mandatory ELearning module and answer the training needs analysis questionnaire. 19 Aug 2016	 Likelihood	8	01-Sep-2016	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DBE-TP-01a Approve Corporate Transport Policy	Approve Corporate Transport Policy [NB this depends on HR and Chief Officers]	ACTION COMPLETED 16 Jul 15	Oliver Sanandres	29-Apr-2016	31-Aug-2015
DBE-TP-01b Implement Corporate Transport Policy	Implement Corporate Transport Policy (including establishing monitoring regimen)	County Transport Policy to go live Mid September	Steve Presland	19-Aug-2016	23-Sep-2016

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
DCCS HS 003 Lone Working 14-Jan-2016 Paul Murtagh	Cause Staff working on their own in isolated locations or visiting residents or clients homes Event Staff suffer verbal abuse, physical attack or are an accident victim Effect Harm or serious injury to staff	 Likelihood Impact	16	A DCCS Lone Working Policy has been drafted and is due for formal approval by the Departmental Leadership Team in September. 09 Aug 2016	 Likelihood Impact	12	31-Mar-2017	 No change

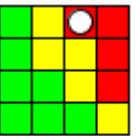
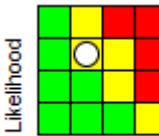

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 003a Sky Guard Review	A review of the current Lone worker protection device is in progress. Some staff report connectivity problems. At the finish of the review a decision will be taken to continue or to investigate a different solution	Following a review of the Sky Guard system, the Departmental Leadership Team has agreed to formally roll out the system to lone workers during quarter three. The roll out will include training for staff and formalising procedures for monitoring by managers.	Paul Murtagh	09-Aug-2016	30-Dec-2016
DCCS HS 003b Lone Working Procedures	Not all staff are working in compliance with the departmental lone working procedures. These will be reviewed to check why they are not being implemented by	A DCCS Lone Working Policy has been drafted and is due for formal approval by the Departmental Leadership Team in September. The new policy and procedures will be rolled out during the re-introduction of Sky Guard during quarter three.	Paul Murtagh	09-Aug-2016	30-Dec-2016

	all staff and reviewed if appropriate. Compliance with new procedures will be monitored by managers and the quarterly Health and Safety Committee. It is anticipated that monitoring information will be available from Skyguard or the replacement system.	As another option a free one month test of a smartphone / tablet APP has been scheduled for quarter three.			
--	---	--	--	--	--

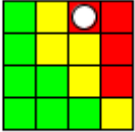
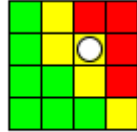

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
GSMD EFI 001 Failure to Secure Lease Renewal of Sundial Court in 2020 09-Jul-2015 Michael Dick	Cause: Sundial Court , (the School's student accommodation), is owned by a private landlord, who currently leases the building to the School. Lease expires in 2020. Event: Landlord may not want to renew the lease to the School as there may be better development potential elsewhere. Alternative specialist music student accommodation might not be found. Impact: Loss of on-campus student accommodation for 177 students. Loss of student services and offices. Loss of student union facility and rehearsal room. Risk of reduced interest in students choosing GSMD if there is no onsite accommodation available.	 Likelihood Impact	16	Further to the June meeting between CSD and the Landlord's agent feedback is being sought and is awaited. 16 Aug 2016	 Likelihood Impact	12	05-Apr-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
GSMD EFI 001a Dilapidations Survey	Commissioning of specialist dilapidations survey	The dilapidations survey is still in progress and expected to be delivered by 31 August 2016. The Building Surveyor has reported (02-Aug 2016) that most of the survey works have been completed and is due for completion by the end of August 2016 after which the Dilapidation report will be submitted. Now 80% complete.	Michael Dick	16-Aug-2016	31-Aug-2016
GSMD EFI 001b Accommodation Alternative	Search for availability of alternative student accommodation	Active and in progress. Consideration has already been given to alternative accommodation provided by third parties however, these offered less space and were located 40 minutes away from the School. The rental charges were between £200-300 per week and rental charges were applied for 52 weeks per year as opposed to just 42 weeks per year current charged at Sundial Court.	Michael Dick	16-Aug-2016	09-Sep-2016
GSMD EFI 001c City	Engagement with City Surveyor on action plan	Ongoing. Development of the action plan can begin in earnest following feedback from CSD and the Landlord and completion of the dilapidations survey works at the end of August.	Michael Dick	16-Aug-2016	30-Sep-2016

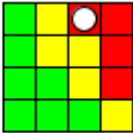
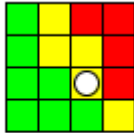
Surveyor Liaison		Work will be carried out with the CSD to develop the plan. The regular maintenance programme continues which also addresses some of the anticipated Landlord compliance issues.			
GSMD EFI 001d Student Accommodation Strategy	Develop long-term student accommodation strategy	The full paper containing the Student Accommodation Strategy was withdrawn before May Board meeting 2016 and a much shorter paper with only the actions relating to the recommendation for early negotiations with the Sundial Court Landlord was substituted. A full accommodation strategy is due to go to the Board in September at the request of the Chairman and Principal.	Michael Dick	16-Aug-2016	05-Sep-2016

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
GSMD POS 002 Impact of Geopolitical Events 16-Oct-2015 Katharine Lewis	Cause: Geopolitical events Event: Problems obtaining visas for non EU students; Dropout from EU students as continuing recession in parts of Europe affects ability of students to support themselves; BREXIT Impact: Inability to recruit, impact on institutional development, internationalisation and financial planning	 Likelihood Impact	16	In addition to the actions take on 5 July the School has been working with sector agencies, principally Universities UK, to make sure that Ministers are aware of the challenges to institutions from potential falls in EU student recruitment. 01 Aug 2016	 Likelihood Impact	6	05-Apr-2017	 Increased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
GSMD POS 002a External Compliance Check	External Compliance check of administration relating to visa students is currently underway	The compliance report has been delayed due to the EU referendum result. This has been chased by the School		01-Aug-2016	02-Dec-2016
GSMD POS 002b Internationalisation Strategy	School's first internationalisation strategy is in development. Will aim to focus our international engagement, in particular identifying key partnerships with potential to benefit the School; underpinning ongoing excellence, innovation and sustainability	Internationalisation strategy currently incorporated within School's main strategy but it is envisaged that there should be a separate strategy for this area.		14-Jun-2016	31-Dec-2016

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
OSD 006 Impact of Housing and/or transport development NEW RISK on REGISTER 10-Mar-2015 Sue Ireland	Cause: Pressure on housing and infrastructure in London and South East; failure to monitor planning applications and challenge them appropriately; challenge unsuccessful; lack of resources to employ specialist support or carry out necessary monitoring/research, lack of partnership working with Planning Authorities Event: Major development near an open space Impact: Increase in visitor numbers, permanent environmental damage to plants, landscape and wildlife, air and light pollution, ground compaction and resulting associated effects on tree and plant health. Wear and tear to sports pitches. Lack of budget to facilitate repairs, potential for encroachment.	 Likelihood Impact	16	The likelihood and impact of this risk remain unchanged. However a review at SLT concluded that the actions that could be taken by the department were unlikely to bring the impact or likelihood down as far as previously suggested. The previous assessment was felt to be overly optimistic. The department continues to engage with local planning applications and policy. 17 Aug 2016	 Likelihood Impact	12	31-Mar-2019	 Increased Risk Score

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD 006 d Divisional delivery of risk actions	Implement the actions associated with the following divisional risks: OSD EF 010 OSD P&G 007 OSD TC 002 OSD NLOS 011	Actions associated with this risk are delivered through the divisional risk registers. Officers across the divisions continue to respond to local issues.	Andy Barnard; Martin Rodman; Paul Thomson	19-Aug- 2016	01-Apr- 2019

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
SUR SMT 009 Failure of implementation and management of the Oracle Property Management System	<p>Cause: Implementation and subsequent management of Oracle Property module to meet business needs</p> <p>Event: Inappropriate technological solution or unsuccessful project management or failure to implement an appropriate management framework</p> <p>Impact: Unable to manage property portfolio / loss of income and poor property maintenance</p>	 <p>Likelihood</p> <p>Impact</p>	<p>16</p>	<p>This risk continues to be progressed, however there five issues that are being finalised. At the request of CASC (11 March 2016) the department has provided target dates and a progress report for each of these five outstanding issues.</p> <p>i. Data Validation (Archibus interface with Oracle) Target September 2016. The Oracle interface with Archibus has been completed and is operational. There remains work needed to the data which requires restructuring and cleansing. This is a six month project being led by the Corporate Property Group Director. Status is GREEN.</p> <p>ii. Service Charge Module Target September 2016. PwC attended site to work on the remaining Caps issue (31st Mar / 6th April) as planned. Business retesting took longer than expected due to year end. However the Service Charge Caps issue has been fixed and signed off ready for production. This is working for investment properties but Markets are having to restructure their data. This is now being looked at by our In-house Production team. Status is RED.</p> <p>iii. Argus Interface This is a deliverable of the internal development team. Based on current priorities and commitments closure is</p>	 <p>Likelihood</p> <p>Impact</p>	<p>8</p>	<p>30-Sep-2016</p>	<p>↔</p>

03-Mar-2015 Nicholas Gill			<p>expected in September 2016. Argus interface with Oracle functions correctly but the converse is a problem. Status is RED. (No change)</p> <p>iv. Archibus Interface Delivery completed and closed March 2016. Further enhancements and changes will be allocated to the internal development team once the Archibus data validation exercise above is completed or priority dictates. Status is GREEN.</p> <p>v. OPN Reports Target date was 29th April 2016. Thirteen reports have been impacted by service charge 'dummy lease' for vacant units work-around, most notably Tenant Debt and Vacancy reports. All this is now the subject of a separate review and any outcomes will be subject to testing which is likely to move the target date to end of July. Status is RED. (No change) on track.</p> <p>15 Jul 2016</p>				No change
------------------------------	--	--	--	--	--	--	-----------

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
SUR SMT 009a Monitor Staff Resources	Monitor staff resources to manage business as usual tasks and project	Completed	Nicholas Gill	23-Jun-2016	30-Apr-2016
SUR SMT 009b Replace core Manhattan functions	Replace core Manhattan functions of rent, leases management and service charge recovery	Completed	Nicholas Gill	23-Jun-2016	30-Aug-2015

<p>SUR SMT 009c Ensure efficient use and future management of system -</p>	<p>Ensure efficient use and future management of system- implement Asset Management Information System Ensure Data Loader is able to update projects</p>	<p>Business as usual model still to be addressed.</p>	<p>Nicholas Gill</p>	<p>23-Jun-2016</p>	<p>30-Sep-2016</p>
---	--	---	----------------------	--------------------	--------------------