



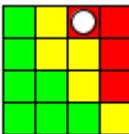
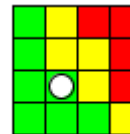

Corporate risks - Detailed risk register (Completed actions removed)

Report Author: Paul Dudley




Generated on: 19 December 2016

Rows are sorted by Risk Score

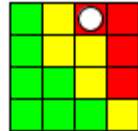

Code & Title: CR Corporate Risk Register 10

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
CR19 IT Service Provision	<p>Cause: The whole Police IT Estate and parts of the Corporation are in need of further investment.</p> <p>Event: For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service.</p> <p>Effect: Loss of communications or operational effectiveness (may also lead to low staff morale). Possible failure of critical Corporation and Policing activities. Reputational damage.</p>	<div>Likelihood </div> <div>Impact</div>	16	The primary focus of the team is on stabilisation, a more robust approach to managing change is in operation, reducing the likelihood of service interruption. The team level approach to risk management is now aligned fully to the top level approach as set out in the City Corporation's Risk Management framework. IT Division is seeking additional budget to implement sustainable mitigations and long term service improvements. The risk is expected to reduce to Amber by December 2017 followed by steady progress to Green in the following 12 months. The team have also identified a number of operational risks to help towards managing this higher level strategic risk.	<div>Likelihood </div> <div>Impact</div>	4	31-Dec-2017	
14-Jul-2015 Simon Woods				12 Dec 2016				No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19c JOINT End User Device Renewal	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Delivery of the new solution will take place throughout 2017.	Simon Woods	12-Dec-2016	31-Dec-2017
CR19d CoLP Investment in any retained IT infrastructure	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure	IT division are currently assessing priorities for further funding approved by committee.	Simon Woods	13-Dec-2016	31-Dec-2016
CR19e Network Transformation Requirements	This is the first phase of the revised project to fully replace ageing unsupportable networking hardware from the City and City Police's infrastructure.	A full requirements audit is now being undertaken IT to report back in early 2017 with the full assessment of what needs to be done.	Simon Woods	13-Dec-2016	28-Feb-2017
CR19f Network Transformation	The full delivery of a new network for the Corporation and city Police.	This work will follow-on from CR19e and lead to a completely new network for both organisations that is fully supportable. The full roll-out will take place throughout 2017/18.	Simon Woods	06-Oct-2016	31-Mar-2018

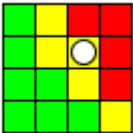
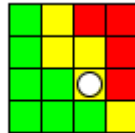
Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR20 Road Safety 23-Oct-2015 Carolyn Dwyer	Cause: Limited space on the City's medieval road network to cope with the increased use of the highway by vehicles and pedestrians / cyclists within the City of London. Interventions & legal processes take time to deliver Event: The number of casualties occurring in the City rises instead of reducing. Effect: The City's reputation and credibility is adversely impacted with businesses and/or the public considering that the Corporation is not taking sufficient action to protect vulnerable road users; adverse coverage on national and local media	 Likelihood Impact	16	As a result of comments received from the City of London Police the Road Safety Communication Strategy is now being amended with January as the anticipated date for sign off by the Road Danger Reduction Partnership Board. The target date has been revised accordingly. Longer term and experimental schemes to improve Bank Junction are still on track. 14 Nov 2016	 Likelihood Impact	6	30-Apr-2017	 No change

Action no, Title,	Description	Latest Note			Managed By	Latest Note Date	Due Date
CR20a Joint Safer Transport Team	Implement a joint City of London Corporation & City of London Police Road Safety/Safer Transport Team	There is no change from last month. The review of future joint working between City Police and the City's road safety team is now embodied within the One Safe City programme and is now expected to be resolved by the end of January.			Steve Presland	14-Nov-2016	31-Jan-2017
CR20b Permanent Bank Junction redesign	Permanent Bank Junction redesign	Still on track			Steve Presland	14-Nov-2016	30-Nov-2018
CR20c Interim Bank Junction redesign	Working with TfL to explore and, where practicable, deliver short term design/operational improvements to Bank Junction	There is no change from the position last month. It is anticipated that a report to proceed to implementation will be presented by December this year with implementation by the end of April 2017			Steve Presland	14-Nov-2016	30-Apr-2017
CR20d Road Safety Communication s Strategy	Work with the Corporation's Communications Office to deliver a Road Safety Communications Strategy	As a result of comments received from the City of London Police it is now being amended with January as the anticipated date for sign off by the Road Danger Reduction Partnership Board. The target date has been revised accordingly.			Steve Presland	14-Nov-2016	31-Jan-2017

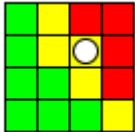
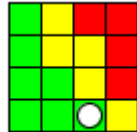

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CR21 Air Quality 07-Oct-2015 Jon Averns	<p>Cause: Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p>Event: Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p>Effect: The consequences both acute and chronic may include: An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services). An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers). Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits. Persistent poor air quality may affect the longer term health of the City population. Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>	 <p>Likelihood</p> <p>Impact</p>	16	<p>We continue to address this issue robustly and innovatively, and the City of London Corporation has recently been awarded a grant of £1M by the Mayor of London to undertake a Low Emission Neighbourhood project. However, the position regarding the potential fine still isn't clear and poor air quality in the Square Mile remains a public health risk. To reduce air pollution in the City requires action from a range of organisations and industries and this is a long-term process. Whilst projections indicate that improvements will be made over the next five years, for the time being the risk remains at the same level as previously assessed.</p> <p>12 Dec 2016</p>	 <p>Likelihood</p> <p>Impact</p>	6	31-Dec-2020	↔
No change								

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR21 001d Develop communication s strategy.	Develop and implement a robust communications strategy to ensure people have sufficient information to reduce their exposure on days of 'high' air pollution.	Comms strategy now in place for the Low Emission neighbourhood	Jon Averbs	12-Dec-2016	31-Dec-2016
CR21 001e Develop plan	Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra Low Emission Zone.	Work has commenced in a Low Emission neighbourhood scheme which will result in a reduction in the number of diesel vehicles in the City	Jon Averbs	12-Dec-2016	31-Dec-2018

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR01D Elimination of single points of failure, resulting in loss of services	Working with the IS division, remove potential single points of failure from business continuity processes.	Currently waiting for feedback from the IS division regarding testing on changes to the VPN infrastructure that will ensure that the network will be available virtually in the event of a systems outage in Guildhall. A partial test was completed during September, further testing is now planned for the new year.	Gary Locker	13-Dec-2016	01-Dec-2016
CR01E Corporate Review of Security	Conduct a review of the City of London's physical security arrangements to ensure that are consistent and appropriate for the threat level. Implementation of the review findings be complete by the end of 2016	Review expected to be completed by the end of March 2017	Gary Locker	13-Dec-2016	31-Mar-2017

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CR09 Health and Safety Risk 22-Sep-2014 Chrissie Morgan	<p>Cause - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p>Effect - Possible enforcement action/ fine/prosecution by HSE, Employees/visitors/contractors may be harmed/injured, Possible civil insurance claim, Costs to the Corporation, Adverse publicity /damage to reputation, Rectification costs</p>	 <p>Likelihood</p> <p>Impact</p>	12	<p>This risk was reviewed by the SMT on 28-11-2016, there is no change to the assessment at this time.</p> <p>13 Dec 2016</p>	 <p>Likelihood</p> <p>Impact</p>	8	31-Dec-2017	<p>↔</p> <p>No change</p>

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR09C Compliance Checks 2016-17	Annual Programme of compliance checks	The programme for this year is currently on target to be achieved by March 2017	Justin Tyas	13-Dec-2016	31-Mar-2017
CR09D Implementing external verification recommendations	Develop a series of actions that will help to implement the best practice recommendations contained in the recent external verification of the CoL's Occupational Health and Safety Management Systems	Occupational Health (GG) have updated their element of the Action Plan	Justin Tyas	02-Dec-2016	31-Mar-2017

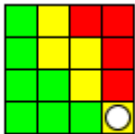

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CR16 Information Security 22-Sep-2014 Simon Woods	Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information. Event: Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information. Effect: 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 1988. Incur a monetary penalty of up to £500,000. Compliance enforcement action. Corruption of data. Reputational damage to Corporation as effective body.	 Likelihood Impact	12	Initial paper taken to Summit Group outlining a number of options for improving technical security this was agreed in principle, since then requests for change have seen it return to each Summit Group for further comment -; the latest version will be discussed at the December meeting. 13 Dec 2016	 Likelihood Impact	4	31-Dec-2016	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16b Review and strengthen Data Retention, Management and Ownership.	For all major systems establish data owner and retention policy for information therein.	Further development against the original risk of CR16 Information Security has taken place. This has included a gap analysis across people, process and technology in the City Corporation with respect to Data Security and governance. As such, a proposed programme of work with associated governance, financial and human resource has been proposed via a report of the Chamberlain, authored by the Directors of IT and Information Security respectively. This paper will be tabled at Summit Group this month.	Christine Brown	13-Dec-2016	31-Dec-2016
CR16h Online Training for Members	Online training to be made available to Members following workshop in February 2016.	Online training options are still being explored to identify the most training package.	Simon Woods	13-Dec-2016	03-Apr-2017
CR16i Technical Security Infrastructure	The Development and implementation of more technical security infrastructure	Initial proposals for improvements to the technical security infrastructure in use have been shared with Summit Group. Revisions have been made for further comment this month.	Simon Woods	13-Dec-2016	31-Mar-2017

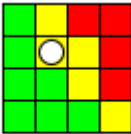
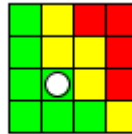

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CR02 Loss of Business Support for the City 22-Sep-2014 John Barradell	Cause - The City Corporation's actions to promote and support the competitiveness of the business City do not succeed. Event - The City's position as the world leader in international financial services is adversely affected Effect - The City loses its ability to attract and retain high value global business activity, both as a physical location and in mediating financial and trade flows; the City Corporation's business remit is damaged and its perceived relevance is diminished. Reputational damage to the City as a place to do business and to Corporation ability to govern effectively	 Likelihood	8	The risk assessment/scoring remains the same in light of the post-Brexit global political environment. The City Corporation is taking major steps to mitigate this risk, which is outlined below. 13 Dec 2016	 Likelihood	8	31-Dec-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR02B Restructure of the team working on financial and professional services	City, EU and International Affairs teams have been restructured into City Competitiveness and Regulatory Affairs teams to remove geographical boundaries and provide greater policy focus to work. Job descriptions have been reviewed for same purpose.	A Review by Sir Simon Fraser reporting on the success of the Corporation in Promoting the City was carried out. In response to that further restructure of the team is being carried out to restructure the City Competitiveness and Regulatory Affairs team into three: Policy and Innovation Team, Regulation Team and Exports and Investment Team appointments have now been made and new starters will be in place by the end of January 2017, providing additional capacity and capabilities.	Giles French	13-Dec-2016	31-Jan-2017
CR02C UK Referendum on membership of the EU	City Corporation providing opportunities for informing the debate on the EU Referendum, and representing the views of the financial and professional services sector	Since the UK's decision to leave the EU, the Corporation is working with trade associations and other bodies in the City to collate a combined view to present to government ahead of Brexit negotiations. The Corporation has worked with and facilitated discussions with bodies across the City. Research has been commissioned to demonstrate how EU corporates use UK based financial services, and to examine the feasibility of a UK regional visa regime. The IRSG has commissioned three Brexit related workstreams examining Third Country status, global competitiveness and regulatory coherence, all of which will help inform the government's negotiations.	Damian Nussbaum	13-Dec-2016	31-Mar-2017

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR10a monitoring legislation	Monitoring of Government legislation and proposed regulatory changes.	Relevant Bills in the Government's legislative programme have been identified and City Corporation departments alerted to issues of potential significance as the measures are introduced in the new Session. Action taken through negotiation with departmental officials or amendments tabled in Parliament as required. The legislative consequences of Britain leaving the EU as they may affect the Corporation and the City more generally as an international financial centre are a particular focus.	Paul Double	19-Dec-2016	31-Mar-2017
CR10b Provision of information	Provision of information to Parliament and Government on issues of importance to the City.	Briefing has been provided for parliamentary debates on air quality, immigration, housing, planning, the creative industry, trade and investment, apprenticeships, economic crime, Fintech and broadband.	Paul Double	19-Dec-2016	31-Mar-2017
CR10c Stakeholder engagement	Engagement with key opinion informers in Parliament and elsewhere. Programme of work to monitor and respond to issues affecting the reputation of the City Corporation.	Liaison with the City's MP and other MPs, Peers and Select Committee of both Houses on matters of importance to the City, including increased engagement on Brexit-related issues. Working with other organisations, including the Financial Markets Law Committee, to analyse the legal framework following exit from the EU. Continuing engagement on devolution in London and liaison with London Councils and Central London Forward on the application of devolution to the London boroughs and the City, either directly from Central Government of the Mayor.	Paul Double	14-Dec-2016	31-Mar-2017

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CR17 Safeguarding 22-Sep-2014 Neal Hounsell	Cause: Not providing appropriate training to staff, not providing effective management and supervision, poor case management Event: Failure to deliver actions under the City of London's safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue Effect: Physical or mental harm suffered by a child or adult at risk, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted	 Likelihood Impact	8	A Corporate audit of safeguarding is being undertaken. The review of the safeguarding champions will be completed following the outcome of the Corporate audit. 16 Dec 2016	 Likelihood Impact	8	31-Mar-2017	↔ No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR17k Review role of Safeguarding Champions	The role of Safeguarding Champions to be reviewed and to consider if Domestic Violence can be added to the role	A Corporate audit of safeguarding champions is being undertaken and the review of safeguarding champions will be completed following the outcome of the corporate audit.	Chris Pelham	16-Dec-2016	31-Mar-2017
CR17l Online Adult Safeguarding Training	Online basic Adult Safeguarding training will be mandatory for DCCS staff	Safeguarding for non Adult Services Staff online course is now available for staff via the City Learning portal. The completion date for all staff to comply has been extended to 31 January 2017	Chris Pelham	19-Dec-2016	31-Jan-2017
CR17m Raise Awareness of financial abuse and scams	The Adult Social Care Team will be working with the City of London Police to raise the profile of financial abuse and scams	Work is ongoing. A scoping paper has been presented to the Safeguarding Adult Board and a campaign to raise awareness of the public, in partnership with City of London Trading Standards and the City of London Police will take place in the spring of 2017	Chris Pelham	19-Dec-2016	31-Mar-2017

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CR14 Funding Reduction 22-Jun-2015 Peter Kane	Cause: Reduced funding from Central Government. Event: Reduced funding available to the City Corporation and City of London Police. Effect: City Corporation will be unable to maintain a balanced budget and healthy reserves in City Fund, significantly impacting on service delivery levels and reputation.	 Likelihood	6	Two new risks have been drafted to replace this risk. One covers the risk of funding reduction to the City of London Police; the other is around value for money. These are currently being reviewed if approved this risk will be removed. 12 Dec 2016	 Likelihood	4	31-Mar-2017	 No change

Action no, Title,	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR14b SBR implementation – Departmental Savings and cross-cutting reviews.	SBR proposal implementation within Departments and with cross cutting workstreams to identify further efficiencies in strategic asset management, income generation, and reviews of grants and hospitality. Scrutiny by the Officer Strategic Resources Group and Efficiency and Performance Sub-Committee.	SBR proposal implementation within Departments is going well. Cross cutting workstreams to identify further efficiencies in strategic asset management, income generation, and grants. Scrutiny by the Officer Strategic Resources Group and Efficiency and Performance Sub-Committee.	Caroline Al-Beyerty	06-Oct-2016	31-Mar-2017
CR14h Develop Efficiency Plan	Efficiency Plan to be developed and approved by Finance and Policy & Resources Committee which sets out a framework that would incorporate continuous improvement savings and a rolling review programme to secure more radical changes in efficiency and effectiveness.	Efficiency Plan approved for publication	Peter Kane	06-Oct-2016	14-Oct-2016
CR14i Develop strategy to address projected Police deficits	City Police is forecasting deficits in 2017/18 and 2018/19 which need to be addressed.	City Police are developing a saving programme following a fundamental review of activity and cost drivers. However it is likely that this programme of savings will be unable to cover the full deficit. Further work to be carried out and proposals to be made to Finance Committee and Resource Allocation Sub Committee.	Caroline Al-Beyerty	06-Oct-2016	31-Mar-2017