

Appendix 4

Top Red departmental risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

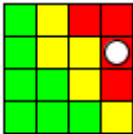
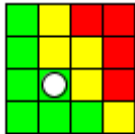
Generated on: 18 December 2017



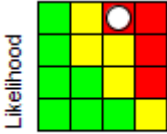
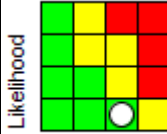
Rows are sorted by Risk Score

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
CLF-08 Breach of Regulations 26-Mar-2015 Roland Martin	Cause(s): Staff unaware of compliance legislation due to lack of training/awareness raising leading to a breach of statutory regulations and/or guidelines Event: Failure to adhere to employment legislation; failure to comply with examination regulations set out by JCQ and failed inspection. Failure of ISI inspection. Effect: Reputation damage. Legal action, possible disqualification of Freeman's as an examination centre.	Likelihood Impact	24	Home Office audit at City of London offices on 28th November. All requested information provided. Awaiting further information if visit to Freeman's is required. 11 Dec 2017	Likelihood Impact	1	04-Jul-2018	↔

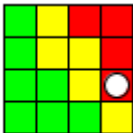
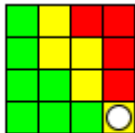
Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CLF-08C	Investigate potential breaches immediately and take appropriate action.	A recent problem with a T4 visa has exposed some weaknesses in our process and the Headmaster has asked for a full audit. The Boarding Schools' Association has been asked to come and do a compliance check at the school on 4th December and will be engaging staff with further training.	Jason Harrison-Miles	14-Nov-2017	04-Jul-2018
CLF-08D	Apply for specific Freeman's licence (not shared with Corporate HR).				31-May-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
DCCS ED 001 Failure to deliver City of London Academy expansion programme 31-May-2016 Gerald Mehrstens	Cause Expansion programme not delivered Event Building projects not completed and /or Academies not approved for opening by the Department for Education Effect Need to secure temporary accommodation / alternative school place provision leading to increased pressure on school budgets and reputational damage. Academies opening deferred for a further year resulting in failure to deliver school places and reputational damage.	Likelihood  Impact	24	has increased in score (amber 12 to a red 24 in October 2017). This increase is due to the planning application for COLPAI to Islington committee report being delayed. The report did not go to the December 2017 planning committee, putting the school at risk of not being completed on time for September 2019. In addition, an Early Warning Notice has been issued for the Galleywall capital build programme due to concerns about the contractor providing information in a timely manner, and projected possible delays for completion of the build by September 2018. 12 Dec 2017	Likelihood  Impact	4	01-Sep-2019	↔

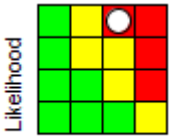
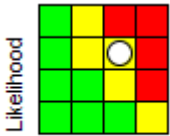
Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS ED 001a	A Programme Board has been established to oversee the work of project boards and take high level decisions	The Programme Boards are continuing to meet quarterly.	Gerald Mehrrens	20-Oct-2017	01-Sep-2019
DCCS ED 001b	Project boards for the two schools in pre-opening phase and for four applications to sponsor schools have been established and meet monthly	<p>Good progress has been made with COLA Highgate Hill and COLA Shoreditch Park opening with a funding agreement. Newham Collegiate and Highbury Grove funding agreement is expected to be in place by the end of the Autumn Term while complications with lease arrangements are resolved.</p> <p>COLPA Islington opened in a temporary site on schedule but delays in getting to planning committee for the permanent builds puts at risk the permanent site being completed on time. Actions are being taken to mitigate the delay in planning approval being granted</p>	Gerald Mehrrens	20-Oct-2017	30-Sep-2019
DCCS ED 001c	COLPAI capital build engagement with Islington Planner officers and participation in Design Review Panels to ensure planning application will be approved.	In terms of COLPAI, it is proposed the planning application will be heard in January 2018, while in the interim the City is exploring what activities can be brought forward while seeking planning approval to keep the build completion date to September 2019.	Gerald Mehrrens	12-Dec-2017	01-Sep-2019
DCCS ED 001d	Galleywall capital build input greater project management capacity to ensure delivery by contractor while at the same time explore procurement of an alternative contractor for the rest of the build.	In terms of Galleywall, an early warning notice has been issued, options on a way forward have been explored and presently DCCS is continuing to work with the contractor, and strengthening the project management input to get back on track. The contractor has provided a revised programme showing the build will be delivered on time but DCCS is being cautious to see how the contractor performs over the next two months to see if this revised programme will be realised. If so, again the level of risk will be reduced.	Gerald Mehrrens	12-Dec-2017	01-Sep-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
BBC Arts 011 Concert Hall – Stage Riser System – Spiral Lift Failures Jan 17 17-Feb-2017 Louise Jeffreys; Jonathon Poyner	<p>Cause: The riser system suffered a total of four failures, the first on 20th January. One Spiralift was replaced successfully by Stage Technologies but that repair was followed by three further breakdowns. We have been warned by Stage Technologies that the riser system is nearing the end of its life. As part of the Stage Riser control system consultancy in 2016, we had been advised that we had many years of usage left in the system.</p> <p>Event: Concert Hall risers are not fully operational and there is risk of further failure (28 lifts in total).</p> <p>Impact: It took 4 minutes previously to reset the stage, it's now taking 40. Risk to performances not being able to go ahead. Risk of injury or death, reputational risk. Additional labour cost, (estimated£24k annually), to facilitate LSO get-ins due to reduced functionality of stage riser system.</p>	 <p>Likelihood</p> <p>Impact</p>	16	Design works are to be undertaken and an order is to be placed with the contractor. In the meantime, we have purchased additional spares so as to ensure the continued use of the equipment whilst we undertake the project scoping and delivery. 13 Dec 2017	 <p>Likelihood</p> <p>Impact</p>	4	31-Mar-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
BBC Arts)11d	Quotes for fee proposals to produce a spec and oversee the works from two companies to add to quotes for carrying out the works have been requested. Once full costs are outlined including all fees and management of the work, a decision will then be made on when and how to fund the project.	Project included in draft CWP bid for 2018-19 and subject to the approval of CASC & RASC a budget will be available from April 2018.	Louise Jeffreys; Jonathon Poyner	19-Oct-2017	30-Mar-2018
BBC Arts 011c	Three stage risers have failed, with more expected to fail in the near future. It is anticipated that the system will need replacing entirely.	Head of Finance has undertaken to liaise with Chamberlain re early access to budget for production of specification and seeking of tenders.	Louise Jeffreys; Jonathon Poyner	19-Oct-2017	31-Mar-2018

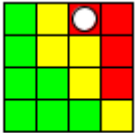
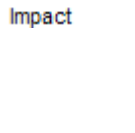
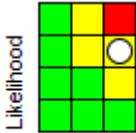
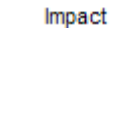
Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
BBC H&S 002 Failure to deal with Emergency /Major Incident or Risk of Terrorism 25-Feb-2015 Jonathon Poyner	Cause: Failure to deal with a major incident, emergency or risk or impact of a terrorist attack Recent wave of terrorist related attacks and general raising of alert state ,increase in hostile reconnaissance in the UK and Europe. Event: Potential loss of life or serious injury to staff, customers, clients, visitors and contract workers; damage to major services within the building as well as the building itself; delays to emergency services due to lack of information; potential reputational risk to organisation due to lack of delivery of information to staff, family members and management team in order to manage public/press statements; failure to deal with situation due to lack of plans/incomplete plans/inadequate staff training Impact: Injury/damage compounded by Centre failures leading to insurance claims/liability claims/liability and/or prosecution; public confidence in ability to manage major incident would be compromised.	Likelihood  Impact	16	We continue to work with the relevant authorities including police teams, anti-terrorist teams and firearms units and have delivered further sessions of business continuity planning with management at different levels plus continued the daily toolbox talks for staff vigilance and 'Run, Hide,Tell', etc. We continue to work with AECOM for the delivery of the security capital projects and it is anticipated that HVM (Hostile Vehicle Mitigation) will commence in January 2018, with all of the works being completed towards the end of 2018, finishing with CCTV. 13 Dec 2017	Likelihood  Impact	8	30-Sep-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
BBC H&S 002a	In order to mitigate the risks, evacuation plans and protocols are held for all venues, and plans are revised and reissued for specific performances where appropriate. All relevant staff are briefed, when required, on procedures and training is provided. Further mitigation measures to reduce the risk rating could include the introduction of planned "practice" large-scale evacuations for staff and customers and creation of a "Foyers Evacuation Team".	<p>A full evacuation of the Centre took place on 24th October including the foyer (CoL colleagues were in attendance).</p> <p>We have also conducted zoned evacuations of 6 areas in the Barbican since then and continue to conduct toolbox talks etc.</p>	Jonathon Poyner	13-Dec-2017	01-Apr-2018
BBC H&S 002b	Major Incident and Business Continuity plan for the Centre reviewed at least once a year and at other times in cases of significant changes. Departmental plans, the responsibility of individual Heads of Department, should be updated at the same frequency as a minimum. Front line staff trained at least once a year using table top exercises and briefing sessions. Partial evacuation takes place throughout the year with frequent fire alarm activations (on average 20 - 24 per annum).	Training and tool box talks continue.	Jonathon Poyner	13-Dec-2017	30-Sep-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
MCP-SM 001 HGV Unloading Operations 24-Feb-2015 Mark Sherlock	Cause: A lack of suitable and sufficient training and adequate management controls in relation to Heavy Goods Vehicle banksman activities undertaken by staff employed by Smithfield Market tenants. Event: Serious or life changing injury to members of the public, market staff and other service users caused by uncontrolled or unguided reversing vehicles. Effect: Realisation of this risk could result in a prosecution, fine and reputational damage for the City.	 Likelihood	16 Impact	No change 06 Dec 2017	 Likelihood	12 Impact	31-Jan-2018	↔

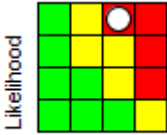
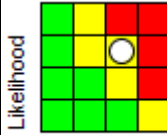
Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
MCP-SM 001f	Work with the Market Tenants' Association to review sender delivery practices.	<p>Tenant banks-man training is complete, and a jointly signed letter from the Superintendent and Chairman of the SMTA has been issued to all freight transport companies which deliver to the Market, confirming the improved operational safety standards required and the consequential lock-off of the delivery bays if these standards are not met. This letter included a site plan, delivery process, and site rules. Detailed monitoring continues by the onsite Constabulary.</p> <p>Continuing risk management work streams are;</p> <p>Stakeholder actions/review meetings set with the SMTA until all recommendations of the FTA report are fully demonstrable, evidence based, and implemented.</p> <p>Ensure that all training records of individuals are retained and updated by the SMTA, on behalf of the tenants, for review with the Superintendent's office for ongoing controls.</p> <p>The City will implement immediate closure of vehicle lock-ons where unsafe & unmanaged activities are identified and after consultation with the SMTA an effective date agreed.</p> <p>In the short to medium-term the Superintendent will evaluate the opportunity to remove certain human inputs/errors in the control process, and to replace them with software managed and sequenced inter-lock interfaces, before the lock-on process is safely complete. This has been progressed with site visits being made by industry experts.</p> <p>Good progress is being made through structured working with the SMTA. Improvements have been made with both training and additional safety measures introduced by the Market, such as Tensa barriers, additional signage, road markings and hatchings, traffic lights, speed controls, additional bollards, and road surface improvement including road markings and signage.</p>	Mark Sherlock	15-Nov-2017	31-Jan-2018

		It is anticipated that by continuing with this approach, the current Red risk will be able to be reduced to Amber.			
MCP-SM 001h	Monitor market traffic routes.	The Superintendent has written to 6 traders about the need to improve operational management of the loading/parking bays. 1 tenant has been written to again with the impending sanction of a 146 Notice being levied if poor practices continue. Immediate improvements have been witnessed. A further tenant has installed CCTV in order to record /review/ implement better management practices on the north-east corner of the EMarket. The Constabulary are to inform the Superintendent as soon as any poor practices return.	Mark Sherlock	28-Nov-2017	31-Jan-2018
MCP-SM 001i	Work with the Market Tenants' Association to review unloading practices.	October audit identified 16 transport companies that used a driver banksman and 1 (Fairfield) which made 2 deliveries without any banksman. The Superintendent has agreed a second joint letter with the SMTA which will be sent to all FTCs with a reminder of a pending delivery rejection implementation should site rules not be followed in future. This will be issued to FTCs by 1st December 2017.	Mark Sherlock	28-Nov-2017	31-Jan-2018
MCP-SM 001j	Review and implement the local forklift truck management scheme.	The revised Policy has been circulated and a joint COL/SMTA meeting due to be held on 30th November to formalise an agreement before the end of 2017. Previous dates have been postponed due to the unavailability of SMTA members.	Mark Sherlock	15-Nov-2017	31-Dec-2017

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 005 Pests and Diseases summary risk 30-Aug-2017 Colin Buttery	This risk summaries the pest and disease risks across the Open Spaces Department. Causes: Inadequate biosecurity; purchase or transfer of infected trees, plants, soil and/or animals; ‘natural’ spread of pests and diseases from neighbouring areas. Event: Sites become infected by animal, plant or tree diseases e.g. Oak Processionary Moth (OPM), foot and mouth, Massaria, Ash Die Back, <i>Salmonella</i> (DT 191a), Leaf Miner Moth Impact: Service capability disrupted, public access to sites restricted, animal culls, tree decline, reputational damage, increased cost of monitoring and control of invasive species, risk to human health from OPM or other invasives, loss of key native species, threat to existing conservation status of sites particularly those with woodland habitats. This risk is felt to be of departmental concern due to the potential biodiversity, financial and human health impacts associated with this risk. The actions for this risk are the open actions from each of the divisional risk registers.	Likelihood  Impact 	16	The increasing risk score reflects the very high level of concern around the continued spread of pests, particularly Oak Processionary Moth (which can be damaging to human health). The department continues to engage proactively with the Forestry Commission to monitor and control OPM, but it is continuing to spread. Epping Forest has also been affected by Ramorum this year. We are not anticipating a reduction in this risk unless we accept these diseases as endemic. 13 Nov 2017	Likelihood  Impact 	12	31-Mar-2018	↔

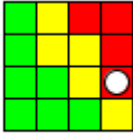
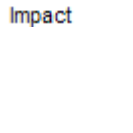
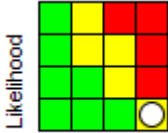
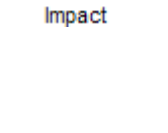
Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD CC 011 a	Regular monitoring of trees Engagement of specialists where required	The proactive approach taken to monitor trees resulted in OPM being recognised and reported to the Forestry Commission. Expert advice on the management of OPM has been sought and is acted upon. Regular inspections and the use of pheromone traps will continue.	Gary Burks	08-Aug-2017	31-Mar-2018
OSD EF 007 a	Implement actions arising from Massaria survey. Survey to be undertaken twice yearly	ongoing	Geoff Sinclair	18-Apr-2017	08-Apr-2018
OSD EF 007 c	Yearly inspection of 600 of the ancient oaks across the centre of the forest. Annual activity.	ongoing inspection	Jeremy Dagley	18-Apr-2017	31-Dec-2017

OSD EF 007 d	Yearly inspection of all Rhododendron and Larch. Tender of Larch removal. To be done yearly	SOD found at Wanstead park in Rhododendrons	Jeremy Dagley	18-Apr-2017	15-Apr-2018
OSD EF 007 e	Need to develop a biosecurity policy and then implement.	discussed biosecurity issues with colleagues and Royal Parks at 4th October 2017 workshop on tree diseases. Given large open nature of Forest need to consider where and to whom biosecurity applies. Full blood-testing of any new cattle carried out before entry on to Gt Gregories site and this protocol is part of Gt Gregories site plan - see under OSD EF 002g. Biosecurity plan to developed in consultation with colleagues from NLOS and City Commons	Jeremy Dagley	18-Oct-2017	31-Mar-2018
OSD NLOS 004 a	Sourcing of plants / trees through approved suppliers. Review six monthly	As previously, Staff continue to use approved suppliers for the procurement of trees and plants. Evidence of tree disease in Division Early warning notices to be displayed , e.g. OPM.	Richard Gentry	27-Sep-2017	31-Mar-2018
OSD NLOS 004 b	Trained arboricultural contractors carrying out spraying of Oak in previously infected areas	As previously, Spraying has been carried out. Notices were displayed raising awareness. Staff to be advised & updated about OPM and what they should be observing when on patrol.	Richard Gentry	27-Sep-2017	31-Mar-2018
OSD P&G 004 a	Ensure staff training is kept updated to enable timely identification of pest and knowledge of correct treatment/ prevention.	Provision of staff training ongoing, information is shared within the department	Lucy Murphy; Jake Tibbets	27-Sep-2017	01-Jul-2017
OSD P&G 004 b	Annual tree inspections undertaken through qualified personnel through framework contract	New tree contract now in place	Lucy Murphy; Jake Tibbets	27-Sep-2017	31-Mar-2018
OSD P&G 004 c	Alerts issued to staff enabling additional checks to be undertaken as part of everyday working practice	Email alert used regarding presence of OPM found on 28/3/17 at Epping	Martin Rodman	04-Apr-2017	31-Mar-2018
OSD P&G 004 d	Maintain relationships with industry bodies and neighbouring local authorities to ensure free flow of information.	Officers continue to keep up to date with industry best practice and to share information within the department	Lucy Murphy; Jake Tibbets	27-Sep-2017	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
OSD 006 Impact of development summary risk 30-Aug-2017 Colin Buttery	<p>This risk summaries the risks associated with housing and/or transport development across the Open Spaces Department.</p> <p>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</p> <p>Event: Major development near an open space</p> <p>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.</p> <p>This risk is felt to be of departmental concern due to the high level of work required across the open space divisions to defend against the impact of development and the serious nature of the impact.</p> <p>The actions for this risk are the open actions from each of the divisional risk registers.</p>	 <p>Likelihood</p> <p>Impact</p>	16	This risk continues to be rated red due to the work required across the open spaces sites to protect the sites from the impact of developments. Each of the Superintendents and their teams continues to monitor planning applications with the local area and to respond to applications of concern. 13 Nov 2017	 <p>Likelihood</p> <p>Impact</p>	12	31-Mar-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD EF 010 a	Epping Forest DC local plan - Attend meetings and respond to consultation on the local plan so that can influence the content of the plan and the Memorandum of Understanding between EFDC and Natural England LB Redbridge core strategy and other LA actions plans - respond to any further consultation.	MoU complete, signed. Mitigation strategy in place.	Jeremy Dagley	30-Aug-2017	31-Dec-2017
OSD EF 010 b	Agree a joint approach with Natural England and responses to development pressure on SAC	Joint approach meeting complete. Letter of concern sent in July.	Jeremy Dagley	30-Aug-2017	19-Dec-2017

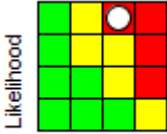
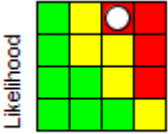
OSd EF 010 c	Negotiate renewal with Essex County Council and extend to cover London Borough's	Still on Essex radar with traffic modelling works undertaken. Agree a forest transport strategy to agree mitigation strategy.	Jeremy Dagley	30-Aug-2017	10-Mar-2019
OSD EF 010 d	Meet with LBE and influence outcome of their NGAP project	delayed by London borough of Enfield	Jeremy Dagley	18-Apr-2017	07-Apr-2019
OSD NLOS 011 a	Maintain a close partnership with Planning Authorities. Supt and Officers in contact with the London Borough of Camden, Barnet and Haringey in regard to planning issues which may impact the open spaces.	As previously, this is on-going and the Division will make representation when appropriate.	Richard Gentry	27-Sep-2017	31-Mar-2018
OSD NLOS 011 b	Respond to consultation on the local plans to help influence the content of the documents.	As previously, response to planning issues given as and when required.	Richard Gentry	27-Sep-2017	31-Mar-2018
OSD NLOS 011 c	A Consultant is monitoring planning activity and will assist the Superintendent with specialist support in regard to resisting planning applications that impact on the Open Spaces.	The Division continues to monitor local planning issues	Richard Gentry	27-Sep-2017	27-Jul-2018
OSD P&G 007 a	Attendance at meetings and respond to consultation on the local plans to help influence the content of the document.	LBN planning portal updates received, flagging latest consultations. Close working relationship with Planning colleagues in City.	Lucy Murphy; Martin Rodman; Jake Tibbets	27-Sep-2017	31-Mar-2018
OSD TC 002 a	Inclusion in core strategy planning documents - where applicable Close partnership working with local planning authorities Active monitoring of planning applications with responses as appropriate All ongoing and/or as and when	Monitoring of activity and submission of responses as appropriate continues	Hadyn Robson	27-Sep-2017	31-Mar-2018
OSD TC 002 b	Active monitoring of pollution where possible Active monitoring of environmental impacts - where possible Undertake research - where appropriate and where resources allow Ongoing	As previously, action is ongoing. Continuing monitoring of dust and reviewing regular reports from contractors Reviewing results of hydrology monitoring from quarry operator and chasing when required Currently undertaking 5 yearly review of visitor numbers Received interim report on repeat survey of visitor footfall	Hadyn Robson	27-Sep-2017	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
OSD 007 Maintaining the City's water bodies summary risk 30-Aug-2017	This risk summaries the property maintenance risks across the Open Spaces Department. The City is responsible for a number of water bodies, some of which are classified as "Large Raised Reservoirs" under the provisions of the Reservoirs Act 1975 and the Flood & Water Management Act 2010. Failure to adequately manage and maintain the City's reservoirs and dams could result in leaks, dam collapse or breach. For some of the City's large raised reservoirs there is the potential for loss of life, damage to property and infrastructure in the event of dam collapse or breach, and the associated reputational damage. This risk is felt to be of departmental concern due to potential for serious consequences, the possibility of legislative change and the possibility that significant capital projects could be required. The actions for this risk are the open actions from each of the divisional risk registers.	Likelihood  Impact 	16	This risk is currently rated red in reflection of the City Engineer's advice to reflect the worst-case scenario. Open Spaces and City Engineers will be holding a workshop to consider the risks associated with each of the water bodies. This will give consideration to a range of factors including those water bodies which are in cascade, so could be impacted by provisions in the Flood & Water Management Act 2010 coming into force. The City Engineers and the Panel Engineer continue to monitor and manage the City's water bodies in accordance with best practice and relevant legislation 13 Nov 2017	Likelihood  Impact 	8	31-Mar-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
OSD EF 004 a	Statutory inspection visits by engineer - 6 monthly in May and October	Panel Engineer visited. Next inspection October..	Martin Newnham; Geoff Sinclair	30-Aug-2017	23-Nov-2017
OSD EF 004 b	Complete works on the Eagle ponds and obtain approval for distribution of responsibilities. Survey the outward toe of the dam pending decision on shared responsibility with London Borough of Redbridge	Piling wall present giving LBR responsibility as statutory undertaker. Conservation statement to be used to determine all statutory undertakers.	Geoff Sinclair	30-Aug-2017	01-Apr-2018
OSD EF 004 c	Weekly inspection of reservoirs / dam. Review the use of penstock gates	all mandatory checks are done and blue books filled in as per engineer panel requests	Martin Newnham	18-Apr-2017	08-Apr-2018
OSD EF 004 e	Undertake scoping evaluations for Baldwins Pond and Birch Hall Park Pond	Statement of concern from the panel engineer. Awaiting November committee gateway 4. Subject to EA response.	Geoff Sinclair	30-Aug-2017	03-Sep-2017
OSD TC 006 a	Condition assessments carried out and options provided for approval Options costed Gateway 4 report drafted - Sept 16	Project remains an aspiration in the business plan	Hadyn Robson	27-Sep-2017	31-Dec-2018
OSD TC 006 b	Inspections / monitoring of outflow condition Ongoing	All water bodies are monitored by DBE and the Panel Engineer in accordance with best practice and legislation	Hadyn Robson	27-Sep-2017	31-Dec-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
SUR SMT 006 City Bridges: Bridge House Estates - Wanton Damage / Terrorism 19-Jun-2017 Paul Wilkinson	Cause: Wanton Damage / Terrorism Event: Collapse or become unusable Impact: Reputational damage, disruption to traffic, additional costs to repair / replace	Likelihood  Impact	16	CSD department requires information from DBE regarding - Inspections - Maintenance reports - Arrears of concern City Surveyor to talk to Head of DBE to gain assurance Bridges are being maintained. 14 Dec 2017	Likelihood  Impact	12	31-Mar-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
SUR CB 006a	Security	There is Police presence but the bridges are located outside the security cordon. Tower Bridge has cameras and security requirements for visitors Temporary mitigation by the Metropolitan Police but not full Hostile Vehicle Mitigation - Ongoing.	Paul Monaghan	14-Dec-2017	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
SUR SMT 007 City Bridges: Bridge House Estates - Tunnelling for the Thames Tideway Tunnel 19-Jun-2017 Paul Wilkinson	Cause: Tunnelling for the Thames Tideway Tunnel effects bridge structures Event: Bridge/s become inoperable or have reduced operability Impact: Closure, reputational damage, disruption to traffic, additional costs to repair / replace	 Likelihood	16	CSD department requires information from DBE regarding - Inspections - Maintenance reports - Arrears of concern City Surveyor to talk to Head of DBE to gain assurance Bridges are being maintained. 14 Dec 2017	 Likelihood	16	31-Mar-2018	↔

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
SUR CB 007a	Asset protection Agreements	DBE to negotiate asset protection Agreements in conjunction with Comptroller and City Solicitor.	Paul Monaghan	14-Dec-2017	31-Mar-2018
SUR CB 007b	DBE to ensure that TFL are aware of potential impacts of bridge closures	DBE to ensure that TFL are aware of potential impacts of bridge closures and suggest that TFL have appropriate contingency plans in place. This will be raised at the next liaison meeting with Thames Tideway staff to progress. This will help mitigate any potential traffic and reputation impacts on the City Corporation.	Paul Monaghan	14-Dec-2017	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
TC TCO 05 Customer Relationship Management System 20-Nov-2015 John Barradell	Cause: Outdated software that is no longer supported stops working or will no longer work with our network environment Event: Failure of the CRM system Effect: Loss of critical data, Contact Centre, C.O.D team unable to effectively carry out their duties.	 Likelihood Impact	16	The strategic approach to replace the Corporate CRM system was approved by the Summit Group in May 2017. Approval was given to the funding of the project via the Corporate Gateway process in July 2017. 11 Sep 2017	 Likelihood Impact	4	31-Mar-2018	↔