

Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

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Rows are sorted by Risk Score

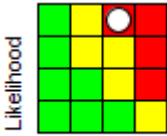
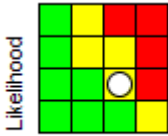

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR24 Operational Security	<p>Cause: Inadequate, poorly maintained or time expired security infrastructure; lack of security culture within the organisation; poor training or organisation of staff; insufficient staff.</p> <p>Event: Security of an operational property is breached.</p> <p>Effect: 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</p>	 Likelihood Impact	24	<p>The Security Board is now mature and in place with all works teams beneath now in place. Public Realm, People Board, Cross Cutting and Security Advisory Board.</p> <p>Good strategic and tactical grip now with Police and key stakeholders. HVM work now started at Barbican and St Pauls in phase one of mitigation to the public from a vehicle borne Terrorist attack. There is phased works in place for the rest of this calendar year.</p> <p>The Corporation threat and risk mitigation plan is being adopted by others.</p> <p>Corporation Estate, ASF and BBM starts next month.</p>	 Likelihood Impact	16	30-Apr-2019	

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07-Jun-2017 Peter Lisley				<p>HVM at Guildhall is aspired to be in place pre-Lord Mayors Show this year.</p> <p>A new post has been created by City Surveyor Head of Security for Guildhall Complex, this is to provide grip and consistency across the complex and then support across the Estate</p> <p>15 Mar 2018</p>				Constant
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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR24a	Deliver a programme of security infrastructure enhancements	<p>The Security Board is now mature and in place with all works teams beneath now in place. Public Realm, People Board, Cross Cutting and Security Advisory Board.</p> <p>Good strategic and tactical grip now with Police and key stakeholders. HVM work now started at Barbican and St Pauls in phase one of mitigation to the public from a vehicle borne Terrorist attack. There is phased works in place for the rest of this calendar year.</p> <p>The Corporation threat and risk mitigation plan is being adopted by others.</p> <p>Corporation Estate, ASF and BBM starts next month.</p> <p>HVM at Guildhall is aspired to be in place pre-Lord Mayors Show this year.</p> <p>A new post has been created by City Surveyor Head of Security for Guildhall Complex, this is to provide grip and consistency across the complex and then support across the Estate</p>	Paul Wilkinson	15-Mar-2018	30-Apr-2019

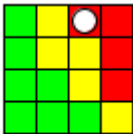
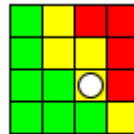

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Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR02 Loss of Business Support for the City 22-Sep-2014 Damian Nussbaum	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	16 Impact	Since the increase in the risk level, the Brexit negotiations between the UK and EU27 have made progress. In December 2017, the Phase One of the negotiations was agreed to have made significant progress, which enabled the second stage of the negotiations to proceed. The agreement at the March 2018 European Council to a transition period until the end of 2020, provides additional time for businesses to prepare for Brexit. The European Council also agreed to commence the negotiations on the future trade agreement between the UK and EU27 03 Apr 2018	 Likelihood	8 Impact	30-Apr-2019	 Constant

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR02C	City Corporation providing opportunities for informing the debate on the terms of Brexit, and representing the views of the financial and professional services sector	<p>Through our work in partnership with the FPS sector, we continue to inform the financial services component on a future UK-EU27 FTA. The IRSG model on "mutual recognition" is preferred outcome and significant progress has been made in making the case to the UK Government, with the model being referenced in key speeches by both the Prime Minister and Chancellor of the Exchequer.</p> <p>In September the IRSG launched a report setting out its favoured outcome for the Brexit trade negotiations - a deep Free Trade Agreement covering financial services. EDO is working to promote its conclusions with UK and EU decision-makers. IRSG is also working on projects on the UK's role in global regulation and the required domestic regulatory framework post-Brexit.</p>	Damian Nussbaum	06-Apr-2018	31-Dec-2018

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CR02E	Recruit and embed a new global exports and investment team in the new structure of Economic Development	New GE&I team provide relationship management services with financial and professional firms aimed at retaining and attracting FDI, and assisting UK based firms to export. They work with colleagues at Mansion House to deliver the international exports and investment programme led by the Lord Mayor, and also lead in the delivery of our Regional Strategy	Giles French	06-Apr-2018	31-Dec-2018
CR02F	Through our work in partnership with the FPS sector, continue to inform the financial services component on a future UK-EU27 FTA. The IRSG model on “mutual recognition” is preferred outcome and significant progress has been made in making the case to the UK Government, with the model being referenced in key speeches by both the Prime Minister and Chancellor of the Exchequer.	We have increased the number of visits to Member States and Brussels, commenced the strengthening of our Brussels office, improved coordination of engagement with the major f/s trade associations, and briefed both UK and EU officials on our proposals.	Damian Nussbaum	06-Apr-2018	21-Mar-2019
CR02G	Continue to make the case for the mutually beneficial arrangements of a post Brexit deal including financial services.	We have increased the number of visits to Member States and Brussels, commenced the strengthening of our Brussels office, improved coordination of engagement with the major f/s trade associations, and briefed both UK and EU officials on our proposals.	Damian Nussbaum	03-Apr-2018	21-Mar-2019
CR02H	We have activity contributed to UK Government led initiatives with other markets on FinTech. The Green Finance Initiative has also signed a new Green Finance Centre with their Chinese counterparts.	Action added 3/4/18	Damian Nussbaum	03-Apr-2018	21-Mar-2019

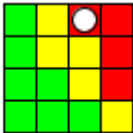
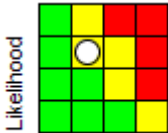
Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR16 Information Security	<p>Cause: Breach of IT Systems resulting in unauthorised access to data by internal or external sources. Officer/ Member mishandling of information.</p> <p>Event: Cybersecurity attack - unauthorised access to COL IT systems. Loss or mishandling of personal or commercial information.</p> <p>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.</p>	<p>Likelihood</p>  <p>Impact</p>	16	The IT team continues to develop training for Officers and Members, to be deployed this year. The Introduction of passphrases as opposed to passwords, consisting of at least 15 characters, has now been rolled out, improving network security. At the IT Sub-Committee in March 2018 it was agreed that this risk should stay at Red whilst further mitigations are being delivered with an aim of bringing the risk down to green by reducing the likelihood of occurrence.	<p>Likelihood</p>  <p>Impact</p>	8	30-Jun-2018	

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22-Sep-2014 Peter Kane				24 Apr 2018				Constant
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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR16b	For all major systems establish data owner and retention policy for information therein.	This is now being picked up with the GDPR ready project being led from the Comptroller team and IT team in the Corporation and the Information Management and Security team in the Police. Update reports on progress provided to Summit and IT Sub-Committee on a regular basis.	Sean Green	13-Apr-2018	30-Apr-2018
CR16h	Online training to be made available to Members following workshop in February 2016.	Induction training provided - Gary Brailsford Hart is supporting this risk to execute mitigating actions from plan in place. Training for Officers and Members in 2018 now being developed. Dates for training to be agreed with Member Services and the IT Security Director.	Gary Brailsford-Hart	14-Mar-2018	30-Apr-2018
CR16i	The Development and implementation of more technical security infrastructure	Using a recognised Cyber security maturity model there is a dashboard being reported that shows via RAG status 10 areas of focus to mitigate this risk with training, processes and tools being delivered that in combination will bring the risk to Green by July 2018. Dedicated project manager is supporting the delivery of new Cyber protection solutions for the CoL and CoLP estates.	Sean Green	13-Apr-2018	30-Apr-2018

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CR21 Air Quality 07-Oct-2015 Jon Avern	<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	No change from previous assessment. Although measured levels of air pollution are going down across the City, nitrogen dioxide still remains above the health-based limits despite a number of measures to bring levels of pollution down 12 Mar 2018	 <p>Likelihood</p> <p>Impact</p>	6	31-Dec-2020	Constant

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR21 001e	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.	The City is producing a draft Transport Strategy which will contain measures to reduce the amount of diesel vehicles in the Square Mile.	Jon Avern	04-May-2018	31-Dec-2018

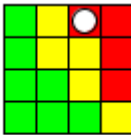
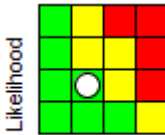

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CR21 001f	Investigate options to reduce emissions from combustion plant in the City using local legislation.	Local legislation will be utilised to investigate options for the reduction of emissions from combustion plant in the City.	Jon Avern	04-May-2018	31-Dec-2018
CR21 001g	Refresh the City of London Air Quality Strategy	Officers are to refresh the City of London Air Quality Strategy by March 2019.	Jon Avern	04-May-2018	29-Mar-2019
CR21 001h	Update the City Air Quality Supplementary Planning Document in line with the London Plan.	The City Air Quality Supplementary Planning Document is being updated in line with the London Plan.	Jon Avern	04-May-2018	28-Dec-2018
CR21 001i	Pilot an ultra-low emission street in the City of London.	Officers are planning to pilot an ultra-low emission street within the City of London.	Jon Avern	04-May-2018	31-Dec-2019

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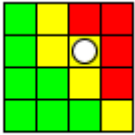
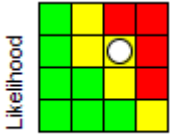

Action no	Description	Latest Note			Managed By	Latest Note Date
CR22c	Ensure that Fire systems are maintained and tested in accordance with the Corporate Building Health & Safety compliance standards.	Our service provider has completed PPM scheduling and many areas have been tested and recorded on worksheets. We are still looking at the best way to gather, record evidence and share with logging the data on a shred drive. This has therefore been extended to allow us to complete the output.			Jonathon Poyner	05-Apr-2018
Cr22j	Implement CO Incident Report recommendations not already addressed by Actions a - i above.	We are still reviewing and confirming the last part of this output to be in a position to close the action. The date has been extended to allow satisfactory completion.			Jonathon Poyner	05-Apr-2018

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CR23 Police Funding 21-Nov-2016 Caroline Al-Beyerty; Ian Dyson	Cause: Reduction in government funding and growing demand in Policing services leading to pressures for the City Fund -Police. Event: Reduction in government funding. Failure to deliver VfM savings. Budget deficit forecast for next 5 years requiring action to balance the budget Effect: 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.	 Likelihood Impact	16	Despite savings target of £1.2m in 2018/19, the current medium term financial plan shows an ongoing gap of £4-5m per annum. This has not yet been resolved and the risk has become an issue. The recently launched Transformation Programme is expected to close the financial gap. 28 Mar 2018	 Likelihood Impact	4	31-Mar-2019	 Constant

Action no	Description	Latest Note			Managed By	Latest Note Date	Due Date
CR23a	Deliver the savings programme for currently identified savings in 2018/19.	COLP has a plan in place to deliver on £1.2m savings for 2018/19 and continues to explore opportunities for continual improvement, both internally and through wider collaboration with the City Corporation. The details of the planned savings were reported to Efficiency and Performance Sub Committee in March.			Alistair Sutherland	28-Mar-2018	31-Mar-2019
CR23b	Medium Term Financial Plan - remodelling	Medium Term Financial Plan - remodelling			Philip Gregory;	28-Mar-2018	31-Mar-2018

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			Michelle King		
CR23c	A Transformation Programme is underway to develop a revised Target Operating Model for CoLP to deliver greater effectiveness and financial stability. The Programme comprises eight work strands.	The Deloitte short term recommendations or 'quick wins' are progressing. Initial savings from the 'quick wins' are being reinvested to create a core team. The next Transformation Board meets at the end of April to review progress on the transformation work streams.	Jane Gyford	28-Mar-2018	31-Mar-2019
CR23d	Consider increase in the business rates premium in future periods	Consider Business rate premium increase and/ or contribution levels from City Fund/ City's Cash as part of financial planning and budget setting for 2019/20.	Caroline Al-Beyerty	13-Apr-2018	31-Mar-2019

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CR01 Resilience Risk 20-Mar-2015 John Barradell	Cause - Lack of appropriate planning, leadership and coordination Event - Emergency situation related to terrorism or other serious event/major incident is not managed effectively Effect - 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	12	IT are still undergoing work to re-locate servers from GJR to another location. Network upgrade work and upgrading bandwidth is progressing across the corporation. Once this has been complete we will be able to carry our resilience tests 13 Feb 2018	 Likelihood	12	31-Dec-2018	 Constant

Action no	Description	Latest Note		Managed By	Latest Note Date	Due Date
CR01D	Working with the IS division, remove potential single points of failure from business continuity processes.	IT are still undergoing work to re-locate servers from GJR to another location. Network upgrade work and upgrading bandwidth is progressing across the corporation. Once this has been complete we will be able to carry our resilience tests		Gary Locker	01-Nov-2017	30-Apr-2018


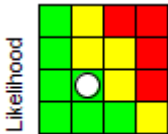

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CR09 Health and Safety Risk	<p>Cause - Safety is treated as a low priority by the organisation, lack of training of staff and managers, management complacency, poor supervision and management</p> <p>Event - Statutory regulations and internal procedures 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>New mental health and wellbeing policy agreed by Establishment Committee (25 April). In addition, support being given to CCC/MH, Barbican, GSMD re: Fire Safety and Work at Height at CCC.</p> <p>04 May 2018</p>	<p>Likelihood</p> <p>Impact</p>	12	31-Dec-2018	<p>Constant</p>
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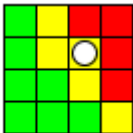
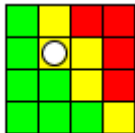

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR09F	Deliver a series of health and safety audits and compliance checks to provide corporate assurance that the organisation is being managed safely	Inspections continuing	Justin Tyas	04-May-2018	31-Dec-2018
CR09g	To deliver a programme of training sessions for Chief Officers and their reports	The programme of training is currently being delivered.	Justin Tyas	04-May-2018	31-Dec-2018

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CR19 IT Service Provision 14-Jul-2015 Sean Green	Cause: The whole Police IT Estate and parts of the Corporation are in need of further investment. Event: For the Corporation, poor performance of IT Service and for the Police critical failure of the Police IT Service. Effect: Loss of communications or operational effectiveness (may also lead to low staff morale). Possible failure of critical Corporation and Policing activities. Reputational damage.	 Likelihood Impact	12	Following the recent improvements to the corporate IT network and systems the Chamberlain agreed to reduce the risk score to an amber 12. It is likely that over the coming months the risk will be further mitigated to a green rating. 13 Apr 2018	 Likelihood Impact	4	30-Jun-2018	 Constant

Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR19c	Investment in any retained IT infrastructure to ensure that this meets the same standards of resilience and continuity as delivered by the IaaS infrastructure.	Remediation to communication rooms completed and work to replace Wide Area Network 60% completed. Local area network equipment now being installed.	Sean Green	13-Apr-2018	31-May-2018
CR19e	This is the first phase of the revised project to fully replace ageing unsupportable networking hardware from the City and City Police's infrastructure.	Implementation is in progress and will be completed between May-October 2018.	Sean Green	13-Apr-2018	31-May-2018
CR19f	The full delivery of a new network for the Corporation and city Police.	The WAN work has started. Remediation of IT communications rooms complete. LAN design completed. LAN implementation now started for CoL and CoLP.	Sean Green	13-Apr-2018	30-Jun-2018
CR19g	Scope changes being discussed due to Accommodation changes with Police Plans and additional networking hardware and support being required as a result.	Scope changes being agreed with funding identified to support these changes.	Sean Green	13-Apr-2018	31-Oct-2018

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CR20 Road Safety	<p>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</p> <p>Event: The number of casualties occurring in the City rises instead of reducing.</p> <p>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</p>	<p>Likelihood</p>  <p>Impact</p>	12	<p>It was agreed at Streets and Walkways Sub-Committee (in February 2018) & Project Sub-Committee (in March 2018) that the Permanent Bank Scheme be placed on hold until the completion of the Bank Experimental Scheme.</p> <p>The Experimental Scheme public consultation findings were reported to Planning & Transportation Committee and Streets and Walkways Sub-Committee. The monitoring report has been submitted to Streets and Walkways Sub-Committee and will be presented to Planning & Transportation and Project Sub Committee in May 2018. It is intended that the final decision report will be presented for decision in May to Streets and Walkways Sub-Committee (May), Planning & Transportation Committee (June) and Policy & Resources in July.</p> <p>The Road Danger Reduction & Active Travel Plan was approved by Members at Streets & Walkways Sub-Committee on 27 Feb 18 and Planning & Transportation Committee on 9 Apr 18. The plan the subject of public consultation between now and August – following which there will be a report to Members.</p> <p>The Active City Network (ACN) event recruitment drive resulted in over 150 new business joining the</p>	<p>Likelihood</p>  <p>Impact</p>	6	31-Oct-2018	

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23-Oct-2015 Carolyn Dwyer				<p>network. ACN progress has been reported to Streets & Walkways Sub-Committee.</p> <p>All construction sites have been invited to apply the Road Danger Reduction Award (as part of the Considerate Contractor Scheme).</p> <p>The Be Brake Ready campaign has been run for cyclists and pedestrians in March. We will continue with pop-up events across the City between now and September.</p> <p>This risk relates to the public perception of the City's commitment to road danger reduction. Given the high profile of the current Bank on Safety scheme the decision is to leave the risk unchanged (AMBER). This will be reviewed after a final decision on whether or not to make the Bank on Safety permanent is known.</p> <p>13 Apr 2018</p>				Constant
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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR20b	Permanent Bank Junction redesign	<p>It was agreed at Streets and Walkways Sub-Committee (in February 2018) & Project Sub-Committee (in March 2018) that the Permanent Scheme be placed on hold until the completion of the experiment.</p> <p>The Experimental Scheme public consultation findings were reported to Planning & Transportation Committee and Streets and Walkways Sub-Committee. The monitoring report has been submitted to Streets and Walkways Sub-Committee and will be presented to Planning & Transportation and Project Sub Committee in May 2018. It is intended that the final decision report will be presented for decision in May to Streets and Walkways Sub-</p>	Steve Presland	13-Apr-2018	30-Nov-2018

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		Committee (May), Planning & Transportation Committee (June) and Policy & Resources in July.			
CR20f	In accordance with the agreed workplan the Road Danger Reduction & Active Travel Strategy is being prepared. Indicative milestones (1) draft to Planning & Transportation Committee in early 2018; (2) Public Consultation in Q2 of 2018; & (3) revised strategy to be presented to Planning & Transportation committee with recommendation for adoption Summer 2018.	The Road Danger Reduction & Active Travel Plan was approved by Members at Streets & Walkways Sub-Committee on 27 Feb 18 and Planning & Transportation Committee on 9 Apr 18. The plan will be the subject of public consultation between now and August – following which there will be a report to Members. The first year of the Plan (April 2018 – March 2019) is fully funded from the TfL LIP (Local Implementation Plan) allocation. The funding for future years will be the subject of further reports to Members.	Steve Presland	24-Apr-2018	01-Oct-2018
CR20g	Behaviour Change Campaign to address ‘inattention’. The process will be (1) use focus groups to identify options; (2) conduct attitudinal survey of road users; (3) prepare campaign delivery plan; (4) deliver campaign; (5) evaluate and report to Q4 2018/19.	The Be Brake Ready campaign has been run for cyclists and pedestrians in March. 25,000 messages were distributed as part of this campaign. We will continue with pop-up events across the City between now and September, at which point a post-campaign attitudinal survey will take place to evaluate the effectiveness of this campaign. The results of the survey will be included in the next Annual Road Danger Reduction Report. The target date has been adjusted accordingly.	Steve Presland	24-Apr-2018	31-Mar-2019
CR20j	The objective is to provide appropriate support to enable 75% of all active construction sites to be CLOCS compliant by summer 2018 including safer vehicles and trained drivers/ banksmen.	All sites have been invited to apply the Road Danger Reduction Award (as part of the Considerate Contractor Scheme).	Steve Presland	13-Apr-2018	31-Aug-2018

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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR25a	1. Ensure compliance with CoL governance and committee reporting requirements. 2. Project Team to report to Information Management Board. 3. Data Protection Officer to report to Summit Group and relevant Committees.	<ul style="list-style-type: none"> As at 04 May 2018 Mazar's GDPR audit in progress which will provide an independent assessment of CoL state of readiness for GDPR. Report to go to Audit & Risk Committee on 31 May 2018 - Mazar's audit findings may not be available for this committee. Report to IT Sub-committee on 31 May 2018- Mazar's audit findings may not be available for this committee. 	Michael Cogher	04-May-2018	18-May-2018
CR25d	To implement a GDPR governance framework which supports the overall delivery of the GDPR project.	<ul style="list-style-type: none"> Bi-weekly project management meetings taking place. Project being effectively monitored with tasks allocated and progress managed, additional resources deployed where appropriate to ensure tasks are finished. 	Michael Cogher	16-Mar-2018	18-May-2018
CR25e	Reports to relevant senior management meetings and committees: <ul style="list-style-type: none"> Summit Group Audit & Risk Committee Policy & Resources Committee Establishment Committee IT sub-committee Information Management Board 	<ul style="list-style-type: none"> Update to IT sub Committee 26 March 2018 	Michael Cogher	03-Apr-2018	18-May-2018
CR25f	Delivery of the GDPR work programme.	Summary of Key activities since March update <ul style="list-style-type: none"> Mazar's audit underway as at 04.05.2018 Training sessions delivered to members Mandatory GDPR course launched on City Learning 23.04.2018 and being monitored for compliance Significant GDPR advice delivered to departments by the Information Compliance Team Corporate communications campaign launches on 09.05.2018 for three weeks Member data processing agreement issued DP contract clauses updated to include DP agreements issued to departments for issue to all existing contractors - responses and compliance will be monitored by the GDPR Project team ongoing Privacy notices on CoL website and templates issued to all departments 	Nick Senior	04-May-2018	18-May-2018

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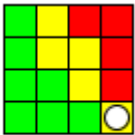
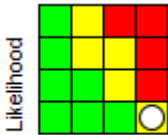

		<ul style="list-style-type: none"> • Privacy Impact Assessment guidance and templates issued • Most relevant policies now completed and issued. 			
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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR10a	Monitoring of Government 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	23-Feb-2018	31-Dec-2018

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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 are a particular focus.			
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	23-Feb-2018	31-Dec-2018
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 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 or the Mayor.	Paul Double	23-Feb-2018	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
CR17 Safeguarding	<p>Cause: Not providing appropriate training to staff, not providing effective management and supervision, poor case management</p> <p>Event: Failure to deliver actions under the City of London' safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue</p> <p>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</p>	 <p>Likelihood</p> <p>Impact</p>	8	A draft of the Corporate Safeguarding Audit was submitted to the Director of Community and Children Services in December 2017. The Director assessed that the agreed scope of the report in itself did not cover the full range of safeguarding responsibilities across the Corporation and did not provide the depth in terms of assurance required across certain vulnerable groups, e.g. adults, to meet the needs of an Ofsted inspection. As such, it was agreed that the terms of reference for the audit needed to be reviewed and revised by the Director together with the Strategic Education and Skills Director and Assistant Director, People and an updated audit would need to be commissioned for 2018/19; alternatively, a different approach would need to be considered.	 <p>Likelihood</p> <p>Impact</p>	8	31-Mar-2019	

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22-Sep-2014 Andrew Carter				The first stage of the new piece of work is to confirm the new ToR and commissioning strategy for the audit. 18 Apr 2018				Constant
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Action no	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR17m	The Adult Social Care Team will be working with the City of London Police to raise the profile of financial abuse and scams	The evaluation of the Seminar on Financial Scams was presented CHASB. The CHSAB will be taking on learning from CoL work in this area and looking to run an event in Hackney during 2018/19- this has been added to the CHSAB Work plan.	Chris Pelham	18-Apr-2018	30-Apr-2018
CR17o	A review is being conducted into the safeguarding arrangements within the independent schools within the City of London. It is anticipated that the report will be available at the start of December. If the report makes recommendations these will be implemented within agreed timescales.	The review was completed end of 2016. All schools reported back on findings to their Governing Bodies. An additional deep dive review was undertaken with the GSMD satellite provision across the country. This was completed q4 2016/17 and a detailed Action Plan was put in place to address issues identified in the review. The findings and the action plan were presented to the GSMD Governing Body. An improvement group chaired by the GSMD Principal, supported by members of the CCS Safeguarding leadership team are also on the group overseeing the implementation of the plan. 2 monitoring meetings have taken place during the Autumn Term. Of the 26 actions set out in the improvement plan 18 are green and 8 are amber and on track for completion within the timescales set out in the plan. The Monitoring group will meet termly until completion of the plan by end of academic year 2017/18.	Andrew Carter	09-Feb-2018	31-Jul-2018
CR17p	The new Ofsted Safeguarding framework will be launched in 2018. This replaces the previous Safeguarding Inspection Framework (SIF) which the CoL received a judgement of Good. The CoL CCS will need to respond to the new framework arrangements in readiness for future safeguarding inspection of Children and Families Early help and Social Care.	CoL are part of the Association of London Directors Children Services Sector Lead Improvement East region. CoL will be completing a Self-Assessment as part of this arrangement which is currently being drafted by Andrew Carter and will be submitted by the revised deadline of end of April 2018. A separate Self Evaluation will be completed and sent to Ofsted for a deadline of May 2018.	Chris Pelham	18-Apr-2018	31-May-2018