



## **SUPPLEMENTARY AGENDA**

### **Audit and Risk Management Committee**

**Date:** TUESDAY, 7 MAY 2019  
**Time:** 2.00 pm  
**Venue:** COMMITTEE ROOMS, 2ND FLOOR, WEST WING, GUILDHALL

#### **AGENDA**

14. **RISK MANAGEMENT UPDATE**  
Report of the Chamberlain.

**For Decision**  
(Pages 1 - 64)

16. **DEEP DIVE RISK REVIEW**

- b) **CR10 Adverse Political Developments**  
Report of the Remembrancer.

**For Information**  
(Pages 65 - 68)

22. **CR28: ACTION FRAUD RISK - APPENDIX FOR RISK MANAGEMENT UPDATE (ITEM 14)**  
Appendix to be read in conjunction with the Report of the Chamberlain.

**For Information**  
(Pages 69 - 70)

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<b>Committee(s)</b>	<b>Dated:</b>
Audit and Risk Management Committee	7 May 2019
<b>Subject:</b> Risk Management Update	<b>Public</b>
<b>Report of:</b> Dr Peter Kane, Chamberlain	<b>For decision</b>
<b>Report author:</b> Paul Dudley, Chamberlain's department	

## Summary

This report provides the Committee with an update on the corporate and top red departmental risk registers. Both these registers have been reviewed by the Chief Officer Risk Management (CORMG) and the Summit Group on 24 April 2019.

There are currently 13 corporate risks (24 April 2019) included on the corporate risk register of which there are three red and ten amber risks. There are two new risks on the corporate risk register – CR27 Change Management and CR28 Action Fraud. (The corporate risk CR28 Action Fraud is reported to Audit and Risk Management Committee in the Not for Publication section of the agenda).

The Audit and Risk Management Committee, at their meeting on 12 March 2019, agreed to de-escalate the CR16 Information Security risk to departmental level (Chamberlain's). Subsequent to this decision the Digital Services Sub Committee, at their meeting on 5 April 2019, have questioned whether the information security risk should be reassessed as a corporate risk. The Committee are requested to consider whether this risk should remain as a Chamberlain's departmental level risk or be re-escalated to the corporate risk register.

CR09 Health and Safety and CR25 GDPR Compliance risks are under review and for possible de-escalation from the corporate risk register.

The Planning and Transportation (P&T) Committee, when reviewing the Department of the Built Environment's quarterly risk register on 18 March 2019, questioned whether current risk score of an amber 6 was appropriate given the the high profile of Ludgate Circus following several serious collisions in recent years. As a result, the score of this risk has been adjusted to an amber 12.

The P&T Committee also commented that the impact description of CR20 road safety risk was inappropriate as it suggested that following a fatal accident in 2015, the City of London Corporation had been expected to take steps to address the risks, and failure to do so would have been a reputational risk. The Committee noted that there were "greater" impacts other than the City Corporation's reputation. The Committee also passed a resolution (attached elsewhere on the Committee's agenda on 7 May 2019) requesting the Audit and Risk Management Committee to review the wording of CR20 risk (the effects in

particular) and to ensure that all other corporate risks describe the “true impacts” and not solely focus on the reputational effects of a risk occurring.

Members are asked to note that the wording the risk description of CR20 is now under review. Subject to this Committee’s confirmation, all corporate risk owners will be requested to check their risk descriptions to ensure that the effects of their risk occurring are appropriate. Any changes to corporate risk descriptions will be reported to the July 2019 Audit and Risk Management Committee.

Summit Group at their meeting on 26 March 2019, agreed in principle for a new risk on information management to be included on the corporate risk register subject to a review of the its description and further actions. The revised risk was presented to Summit Group on 24 April 2019 and they reconfirmed their decision that the information management risk would be included on the corporate risk register.

A total of 343 risks (335 in December 2018) have been identified by departments providing a wide range of risks that may affect service delivery. By way of comparison in June 2016 there were a total of 272 risks. Although the number of departmental level amber level risks have remained about the same there has been a small decrease in green departmental level risks. There has however been a significant growth in service/team level risks from 107 in June 2016 to 187 in April 2019.

The total number of top red departmental risks is 16 (ten in December 2018) which includes two Brexit risks.

## **Recommendations**

The Committee is asked to:

- a) Note the Planning and Transportation Committee’s resolution of the 18 March 2019
- b) Confirm that corporate risk owners be requested to review risk descriptions. Any changes to these risk descriptions will be reported to the July 2019 meeting.
- c) Endorse the decision of the Summit Group that information management risk to be included on the corporate risk register (risk no CR29).
- d) Confirm the risk status (corporate or departmental) of the information security risk (formerly CR16)
- e) Note the risk report.

## **Main Report**

### **Background**

- 1 The corporate risk and top red departmental risk registers has recently been reviewed by the Chief Officer Risk Management Group as well as the Summit Group at their meeting on 24 April 2019.
- 2 A total of 343 (335 in December 2018) wide ranging risks have been identified by departments - 32 red, 200 amber and 111 green risks.

- 3 Of the 343 total risks, there are 13 corporate, and 16 top red departmental level risks. There are another 88 amber and 39 green risks recorded at departmental level. The remaining 187 are recorded as either service or team level risks.
- 4 By way of comparison, in June 2016 there were a total of 272 risks. The number of departmental level amber level risks have remained about the same and there has been a small decrease in green departmental level risks. However there has been a significant growth in service/team level risks from 107 in June 2016 to 187 in April 2019. There are likely to be several factors at play to explain this increase including a greater awareness of the management of risk (and the risk system) through risk training for senior managers and managers, a closer focus on linking risks to service objectives and the use of service risk registers to manage and monitor and report actions for business planning purposes (i.e. not evident that the overall level of risk within the City Corporation has increased).
- 5 Departments have used the City Corporation's Risk Management Strategy to ensure that there is a consistent approach to the way risks are described and scored. Attached as appendix 1 is the corporate risk matrix which illustrates the likelihood and impact ratings as well as the definitions for red, amber and green risks.

### Corporate risk register

- 6 There are currently 13 corporate risks (three red and ten amber). A copy of the corporate risk register is attached as appendix 2a together with the risk assessment history of the corporate risks (appendix 2b). Below shows the disposition of corporate risks on the risk matrix from 3 January to 26 April 2019.
















### Movement of risks since last report

- 7 There are two new risks on the corporate risk register – CR27 Change Management and CR28 Action Fraud. (The corporate risk CR28 Action Fraud is reported to Audit and Risk Management Committee in the Not for Publication section of the agenda).

- 8 The Audit and Risk Management Committee, at their meeting on 12 March 2019 agreed to de-escalate the CR16 Information Security risk to departmental level (Chamberlain's). Subsequent to this decision the Digital Services Sub Committee, at their meeting on 5 April 2019, have questioned whether the information security risk should be re- as a corporate level. The Committee are requested to consider whether this risk should remain as a departmental level risk or be re-assessed to the corporate risk register.
- 9 The Planning and Transportation (P&T) Committee, when reviewing the Department of the Built Environment's quarterly risk register on 18 March 2019, questioned whether current risk score of an amber 6 was appropriate given the high profile of Ludgate Circus following several serious collisions in recent years. As a result, the score of this risk has been adjusted to an amber 12.
- 10 The P&T Committee also commented the that the impact description of CR20 road safety risk was inappropriate as it suggested that following a fatal accident in 2015, the City of London Corporation had been expected to take steps to address the risks, and failure to do so would have been a reputational risk. The Committee noted that there were "greater" impacts other than the City Corporation's reputation. The Committee also passed a resolution requesting the Audit and Risk Management Committee to review the wording of CR20 risk (the effects in particular) and to ensure that all other corporate risks describe the "true impacts" and not solely focus on the reputational effects of a risk occurring. The P&T Committee's minute and associated resolution of the 18 March 2019 is attached elsewhere on the Committee's agenda for the 7 May 2019.
- 11 Members are asked to note that the wording the risk description of CR20 is now under review. Subject to this Committee's confirmation, all corporate risk owners will be requested to check their risk descriptions to ensure that the effects of their risk occurring are appropriate. Any changes to corporate risk descriptions will be reported to the July 2019 Audit and Risk Management Committee.
- 12 Both CR09 Health and Safety Risk as well as CR25 GDPR – Phase 2 risks are under review.
- 13 Following comments made at an Audit and Risk Management Committee meeting the Corporate H&S and Wellbeing Group are considering whether this risk should be now be managed at departmental level at a forthcoming H&S workshop to be held in May 2019.
- 14 CR25 GDPR Phase 2 – the GDPR project effectively closed on 29 March 2019 although there are some further actions to be completed. In addition, a Mazars compliance audit is being undertaken in May/June 2019. The Comptroller and City Solicitor has agreed that CR25 should remain a corporate risk until the results of the compliance audit are known which should be early summer. A further assessment of this risk will then be undertaken, and the outcome reported back to Summit Group and the Audit

and Risk Management Group. The title of CR25 risk has now been changed to GDPR compliance.

- 15 Table 1 below – List of current corporate risks as at 8 April 2019 (ordered by corporate - strategic and operational categories)

Risk ref	Risk title	Status	Risk Score	Trend Icon	Strategic/ Operational
CR24	Operational Security	Red	24		S/O
CR28	Action Fraud <b>(New)</b>	Red	24		S/O
CR27	Change Management <b>(New)</b>	Amber	8		S
CR02	Loss of Business Support for the City	Amber	12		S
CR23	Police Funding	Red	16		S
CR10	Adverse Political Developments	Amber	8		S
CR26	Brexit risk	Amber	12		S
CR21	Air Quality	Amber	12		O
CR01	Resilience Risk	Amber	12		O
CR09	Health and Safety Risk (under review)	Amber	12		O
CR20	Road Safety	Amber	12		O
CR25	GDPR Compliance (under review)	Amber	6		O
CR17	Safeguarding	Amber	8		O

#### **Information Management – confirmation of corporate risk status**

- 16 Summit Group at their meeting on 26 March 2019, agreed in principle for a new risk on information management to be included on the corporate risk register subject to a review of the its description and further actions. The revised risk (see appendix 4) was presented to Summit Group on 24 April 2019 and they reconfirmed their decision that the information management risk would be included on to the corporate risk register.

#### **Corporate risk ratings and target dates**

- 17 Out of the thirteen corporate risks, five risks have annual target dates and relate to longer term risks. These are:

- CR01 Resilience risk
- CR02 Loss of Business Support for the City
- CR09 Health and Safety (This risk is under review by Town Clerk's department)
- CR10 Adverse political developments
- CR17 Safeguarding

The eight other risks relate to specific target dates where the risk scores should be achieved.

- 18 The corporate risk with the highest likelihood rating (Likely) is CR23 Police funding. The following corporate risks which have the highest impact rating (Extreme) are CR10 Adverse Political Developments, CR17 Safeguarding, CR24 Operational Security and CR28 Action Fraud.
- 19 Below is a table showing the one corporate risk which has a target date within the next three months. Further information about this risk is contained in the corporate risk register (appendix 2).

Code	Title	Current Risk Score	Target Risk Score	Target Risk Date
CR26	Brexit Risk	12	6	30 June 2019

### **Top departmental red risks**

- 20 There are 16 top red departmental risks (10 in December 2019). There has been some significant movement on this register since December 2018:
- Eight new red departmental risks – MCP PHPP Brexit, CLF 14 Political Change, BBC Commerce Brexit 003, BBC Buildings 006, CHB IT 026 (COLP IT Modernisation), 027 (IP telephony) and 029 (2020 contract planning and procurement), MAN CCC 002 Working at height.
  - Two risks have been removed from this register – CHB CP 001 Brexit risk City Corporation procurement and OSD 006 Impact of development summary risk.
- 21 Only one risk has a score of 24 - CLF -012 CLF Estate development (formerly CLF Master Plan). The register also included two Brexit related risks (GSMD SUS 004 and BBC Commerce 003). A top red departmental risk status history is attached as appendix 3a together with the detailed risk register as appendix 3b.

### **Conclusion**

- 22 The corporate and top red departmental risk registers were reviewed by CORMG and Summit Group on 24 April 2019. The CORMG provides additional assurance to the Summit Group, COG and the Audit and Risk Management Committee that corporate and top red departmental risks are appropriate and being actively managed.

### **Appendices:**

**APPENDIX 1** – Corporate Risk Matrix

**APPENDIX 2a** – Corporate risk register – detailed version

**APPENDIX 2b** – Corporate risk register – risk history status

**APPENDIX 3a** – Top red departmental risk register - detailed version

**APPENDIX 3b** – Top red departmental risk history status

**APPENDIX 4** – Information Management – revised risk

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## City of London Corporation Risk Matrix (Black and white version)

Note: A risk score is calculated by assessing the risk in terms of likelihood and impact. By using the likelihood and impact criteria below (top left (A) and bottom right (B) respectively) it is possible to calculate a risk score. For example a risk assessed as Unlikely (2) and with an impact of Serious (2) can be plotted on the risk scoring grid, top right (C) to give an overall risk score of a green (4). Using the risk score definitions bottom right (D) below, a green risk is one that just requires actions to maintain that rating.

### (A) Likelihood criteria

	Rare (1)	Unlikely (2)	Possible (3)	Likely (4)
Criteria	Less than 10%	10 – 40%	40 – 75%	More than 75%
Probability	Has happened rarely/never before	Unlikely to occur	Fairly likely to occur	More likely to occur than not
Time period	Unlikely to occur in a 10 year period	Likely to occur within a 10 year period	Likely to occur once within a one year period	Likely to occur once within three months
Numerical	Less than one chance in a hundred thousand (<10-5)	Less than one chance in ten thousand (<10-4)	Less than one chance in a thousand (<10-3)	Less than one chance in a hundred (<10-2)

### (B) Impact criteria

Impact title	Definitions
Minor (1)	<b>Service delivery/performance:</b> Minor impact on service, typically up to one day. <b>Financial:</b> financial loss up to 5% of budget. <b>Reputation:</b> Isolated service user/stakeholder complaints contained within business unit/division. <b>Legal/statutory:</b> Litigation claim or find less than £5000. <b>Safety/health:</b> Minor incident including injury to one or more individuals. <b>Objectives:</b> Failure to achieve team plan objectives.
Serious (2)	<b>Service delivery/performance:</b> Service disruption 2 to 5 days. <b>Financial:</b> Financial loss up to 10% of budget. <b>Reputation:</b> Adverse local media coverage/multiple service user/stakeholder complaints. <b>Legal/statutory:</b> Litigation claimable fine between £5000 and £50,000. <b>Safety/health:</b> Significant injury or illness causing short-term disability to one or more persons. <b>Objectives:</b> Failure to achieve one or more service plan objectives.
Major (4)	<b>Service delivery/performance:</b> Service disruption > 1 - 4 weeks. <b>Financial:</b> Financial loss up to 20% of budget. <b>Reputation:</b> Adverse national media coverage 1 to 3 days. <b>Legal/statutory:</b> Litigation claimable fine between £50,000 and £500,000. <b>Safety/health:</b> Major injury or illness/disease causing long-term disability to one or more people <b>objectives:</b> Failure to achieve a strategic plan objective.
Extreme (8)	<b>Service delivery/performance:</b> Service disruption > 4 weeks. <b>Financial:</b> Financial loss up to 35% of budget. <b>Reputation:</b> National publicity more than three days. Possible resignation leading member or chief officer. <b>Legal/statutory:</b> Multiple civil or criminal suits. Litigation claim or find in excess of £500,000. <b>Safety/health:</b> Fatality or life-threatening illness/disease (e.g. mesothelioma) to one or more persons. <b>Objectives:</b> Failure to achieve a major corporate objective.

### (C) Risk scoring grid

Likelihood		Impact			
	X	Minor (1)	Serious (2)	Major (4)	Extreme (8)
	Likely (4)	4 Green	8 Amber	16 Red	32 Red
	Possible (3)	3 Green	6 Amber	12 Amber	24 Red
	Unlikely (2)	2 Green	4 Green	8 Amber	16 Red
	Rare (1)	1 Green	2 Green	4 Green	8 Amber

### (D) Risk score definitions

RED	Urgent action required to reduce rating
AMBER	Action required to maintain or reduce rating
GREEN	Action required to maintain rating

This is an extract from the City of London Corporate Risk Management Strategy, published in May 2014.

Contact the Corporate Risk Advisor for further information. Ext 1297

October 2015

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## Corporate risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley

Generated on: 25 April 2019

Rows are sorted by Risk Score

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR24 Operational Security  07-Jun-2017 John Barradell	<p><b>Cause:</b> Inadequate, poorly maintained or time expired security infrastructure; lack of security culture within the organisation; poor training or organisation of staff; insufficient staff.</p> <p><b>Event:</b> Security of an operational property is breached.</p> <p><b>Effect:</b> Unauthorised access to building by criminals/protestors/terrorists; disruption of business/ high profile events; reputational damage; injury or potential loss of life amongst staff or members of the general public</p>	<p>Likelihood</p> <p>Impact</p>	24	<ul style="list-style-type: none"> <li>Mitigation works for CR24 location B start end of this month, other works here await Gateway 5 approval about to be submitted by City Surveyors.</li> <li>CR24 location A: 3 areas complete other works at this location June, with the exception of one location which is still going through final design before project sign off, G5 approval, procurement &amp; installation</li> </ul> <p>30 Apr 2019</p>	<p>Likelihood</p> <p>Impact</p>	16	30-Sep-2019	<p>Constant</p>

## Appendix 2a

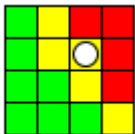
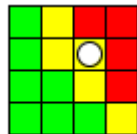

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR24a	Deliver a programme of security infrastructure enhancements	<ul style="list-style-type: none"> <li>• Governance in place, monitored through Strategic Security Board. DBE have taken over delivery of CR24 location A HVM and rear of CR24 location B , works commenced and designs in place. Cross Cutting work has commenced. BBM completed at CR24 location A, B and C.</li> <li>• CCTV, Control Room and Access Control works being tendered January – February 2019 for works commencing March / April and completing November/December 2019.</li> <li>• HVM Works for rear of CR24 location B start end of this month, other works await Gateway 5 approval about to be submitted by City Surveyors</li> </ul>	Paul Wilkinson	30-Apr-2019	30-Sep-2019
CR24b	Mitigating risk of vehicle borne attacks across Corporation estate.	<ul style="list-style-type: none"> <li>• Good strategic and tactical grip established with Police and key stakeholders. HVM work now completed at CR24 location D. Other priority locations Phase 1 to mitigate risk to public of vehicle borne Terrorist attack either in progress or complete. Phase 2 planning for 2019/20 underway, with governance and clear audit trail for decisions between CoL &amp; CLP.</li> <li>• Works are commencing at CR24 location B in May 2019.</li> <li>• CR24 location D HVM is being designed at three locations.</li> </ul>	Carolyn Dwyer; Paul Wilkinson	30-Apr-2019	30-Sep-2019
CR24e	Protecting Guildhall for major events by installing HVM.	CR24 location A: 3 areas complete other works at this location June, with the exception of one location which is still going through final design before project sign off, G5 approval, procurement & installation	Carolyn Dwyer; Richard Woolford	30-Apr-2019	30-Sep-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
CR23 Police Funding	<p><b>Cause:</b> Reduction in government funding, workforce costs and growing demand in Policing services leading to pressures for the City Fund -Police.</p> <p><b>Event:</b> Reduction in government funding. Failure to deliver VfM savings. Budget deficit forecast for next 5 years requiring action to balance the budget</p> <p><b>Effect:</b> Potential impact on security and safety in the City as need to make savings, prioritise activity, review funding City of London Police will be unable to maintain a balanced budget and current service levels as reflected in their Medium Term Financial Plan.</p>	 Likelihood Impact	16	<p>A significant overspend for the current year is expected to be covered by a combination of c.£3m of CoLP mitigations, c.£2m drawdown of the POCA reserve and £1.9m allocation to CoLP of additional BRP proceeds.</p> <p>A balanced budget has been set for 2019/20, taking account of £4.6m of CoLP savings and £4.2m of BRP measures. However there are risks, in particular to managing workforce and overtime levels down, which will need to be closely monitored across the year. A CoLP growth bid is to be considered by Police Committee and RASC. Capital priorities are also to be considered by RASC in April 2019.</p> <p>For medium-term finances beyond 2019/20, indicative Transform savings are currently insufficient to close the financial gaps. A strategic plan for balancing medium-term finances will be developed during 2019/20 covering efficiency, cost reduction, income generation and potentially growth bid measures, and taking account of the SR outcome expected late 2019.</p>	 Likelihood Impact	12	31-Mar-2020	<div style="width: 10px; height: 10px; background-color: blue;"></div>
21-Nov-2016 Ian Dyson; Peter Kane				27 Mar 2019				Constant

## Appendix 2a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR23a	Deliver the savings programme for currently identified savings in 2018/19.	The CoLP savings plan to provide £3+m of mitigation, to partially offset the 2018/19 overspend, is subject to regular monitoring. £3m has now been logged as realised (from measures such as recruitment and non-pay freezes, and additional income generation measures) and is to be assured for the PA Board in May 2019. Other areas of forecast overspend are expected to be covered by the utilisation of c.£2m of POCA reserves as well as the allocation to CoLP of £1.9m additional BRP proceeds.	Alistair Sutherland	27-Mar-2019	31-Mar-2019
CR23b	Medium Term Financial Plan	<p>A balanced budget has been set for 2019/20, taking account of £4.6m of CoLP savings and £4.2m of BRP measures. However there are risks, in particular to managing workforce and overtime levels down, which will need to be closely monitored across the year. A CoLP growth bid is to be considered by Police Committee and RASC. Capital priorities are also to be considered by RASC in April 2019.</p> <p>For medium-term finances beyond 2019/20, indicative Transform savings are currently insufficient to close the financial gaps. A strategic plan for balancing medium-term finances will be developed during 2019/20 covering efficiency, cost reduction, income generation and potentially growth bid measures, and taking account of the SR outcome expected late 2019.</p>	Alistair Cook	27-Mar-2019	31-Mar-2020

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Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR01 Resilience Risk  20-Mar-2015	<p><b>Cause</b> - Lack of appropriate planning, leadership and coordination</p> <p><b>Event</b> - Emergency situation related to terrorism or other serious event/major incident is not managed effectively</p> <p><b>Effect</b> - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business.</p>	<p>Likelihood</p>  <p>Impact</p>	12	<ul style="list-style-type: none"> <li>• Business Continuity training complete.action place now in place to implement key recommendations from the training and BIA process</li> <li>• BECC Training session complete, process and call out still to be finalised . Cycle of training to continue</li> <li>• Further staff awareness date planned 25/6/19 as part of cycle of training/awareness</li> </ul> <p>09 Apr 2019</p>	<p>Likelihood</p>  <p>Impact</p>	12	30-Apr-2020	 <p>Constant</p>

## Appendix 2a

John Barradell							
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR01D	Working with the IS division, remove potential single points of failure from business continuity processes.	Telephony systems for Guildhall have now been upgraded to VoIP and plans to scope and delivery a Unified Communications solution for the Corporation are being developed.  Following the LAN and WiFi upgrade work across the City Corporation's sites, network resilience for the organisation has greatly improved. The Network transformation project is on target for completion at the end of March 2019, including an upgrade to its primary internet connectivity.	Gary Locker	05-Mar-2019	31-Mar-2019
CR01L	Assurance process with Cabinet Office College Provide refresher and initial training for Col staff, this training intended to increase knowledge to ensure BC plans are able to support the Col maintain its business during a major incident, provide an in depth independent oversight of the Col business impact analysis, identifying its most critical business areas	Action place now in place to implement key recommendations from the training and BIA process	Gary Locker	09-Apr-2019	30-Apr-2020
CR01M	process, training, call out process to strengthen the City capability and resilience in responding to major incident and complying with the wider London boroughs standardisation programme	Training for this session complete , process and call out still to be finalised	Gary Locker	09-Apr-2019	31-Dec-2019
CR01N	to increase City capability and resilience in also supporting wider London boroughs during major incident response, Local Emergency Control Centres, Emergency centres as part of a wider humanitarian	BECC training as part of this process completed March 2019 , cycle of training to continue  Further staff awareness date planned 25/6/19 as part of cycle of training/awareness	Gary Locker	09-Apr-2019	31-Dec-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
CR02 Loss of Business Support for the City	<p><b>Cause</b> - The City Corporation’s actions to promote and support the competitiveness of the business City do not succeed.</p> <p><b>Event</b> - The City’s position as the world leader in international financial services is adversely affected</p> <p><b>Effect</b> - The City loses its ability to attract and retain high value global business activity, both as a physical location and in mediating financial and trade flows; the City Corporation’s business remit is damaged and its perceived relevance is diminished. Reputational damage to the City as a place to do business and to Corporation ability to govern effectively</p>	<div><div>Likelihood</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Impact</div></div>	12	<p>A draft deal has been agreed between the UK and EU, which will now be voted on in Parliament. Whilst it isn’t certain the Withdrawal Agreement will be approved, it is notable progress a draft text has been produced. The deal was heavily defeated in Parliament, and following subsequent Parliamentary votes, the Prime Minister will be engaging with the EU27 to seek changes to the Backstop provisions of the Withdrawal Agreement. The second vote on the Prime Minister’s deal was also heavily defeated. There is debate as to whether, how and in what form, a third Meaningful Vote might take place.</p> <p>UK regulatory authorities have announced unilateral action to mitigate the disruption to financial services in the event of “No Deal”. Whilst political statements for EU 27 are encouraging, reciprocal action needs to be taken by EU27 regulators. Progress has been made on this issue with ESMA and other Member State regulators taking appropriate action.</p> <p>Firms are making preparations to mitigate the impact of No deal.</p> <p>28 Mar 2019</p>	<div><div>Likelihood</div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Impact</div></div>	8	30-Apr-2020	<div></div>
22-Sep-2014 Damian Nussbaum								Constant

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR02H	Work on initiatives which ensure London is at the forefront of innovation in financial and professional services	<p>We have actively contributed to UK Government led initiatives with other markets on FinTech. A new Green Finance Institute will be established by the City Corporation in partnership with UK Government. A new Cyber strategy has been agreed with the City Police, and new work programmes on infrastructure and development finance are underway. Supporting the developing programme of work on digital skills through the Coalition for Digital Intelligence and the Financial Services Skills Taskforce.</p> <p>Engagement with policymakers and businesses at the recent World Economic Forum, has informed our ongoing work programme to increase bilateral trade and investment, as well as ensuring the UK economy is prepared for technological changes.</p> <p>Increased engagement with priority markets including Japan, US, Switzerland and China.</p>	Damian Nussbaum	28-Mar-2019	30-Jun-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
<b>CR09 Health and Safety Risk</b>	<p><b>Cause</b> - 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><b>Event</b> - Statutory regulations and internal procedures relating to Health and Safety breached and/or not complied with.</p> <p><b>Effect</b> - 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	<ul style="list-style-type: none"> <li>The new inspection programme initiated and now 10% progressed. <b>NOW 25% Progressed.</b></li> <li>H&amp;S leadership workshop for Town Clerk's has been rearranged to 21/3/2019 <b>COMPLETED</b></li> <li>A paper is being taken to the HS &amp; Wellbeing committee as a proposal to refresh the H&amp;S monitoring / KPIs. Agreed and being taken forward.</li> <li>Time to Talk MH campaign will start soon running 4 -15 Feb. <b>COMPLETED</b></li> <li>Paper to HS&amp;W committee on</li> </ul>	<p>Likelihood</p> <p>Impact</p>	12	31-Dec-2019	

22-Sep-2014 Chrissie Morgan				review of this CR09 (H&S) Risk • Safer Services collaborative seminar with conflict management partners on 15/4 Livery Hall (140 delegates expected)  <b>09 Apr 2019</b>				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR09J	Deliver a series of health and safety audits and compliance checks to provide corporate assurance that the organisation is being managed safely	The new inspection programme initiated and now 25% progressed.	Sarah Blogg; Nikki Jago; Justin Tyas	09-Apr-2019	31-Dec-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
<b>CR20 Road Safety</b>	<p><b>Cause:</b> 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 &amp; legal processes take time to deliver</p> <p><b>Event:</b> The number of casualties occurring in the City rises instead of reducing.</p> <p><b>Effect:</b> 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>	<p><b>12</b></p> <p>The risk has been updated. The 'Impact' has moved from to Serious to Major. The Likelihood remains unchanged at Possible. Overall the Risk remains AMBER</p> <p>The Risk has been updated to reflect the high-profile of Ludgate Circus junction following several serious collisions in recent years. Several articles have been published in the media regarding this junction, and it is likely that should a serious collision occur this will result in adverse coverage in both a local and national</p>	<p>Likelihood</p> <p>Impact</p> <p><b>6</b></p>	31-Dec-2019	↑

23-Oct-2015 Carolyn Dwyer				<p>media.</p> <p>We have been actively encouraging TfL to deliver an ambitious approach at Ludgate Circus Junction and expect their proposals to be reported to P&amp;T Committee in May.</p> <p>This update reflects the current wording of this Risk. Following discussion at March 18th P&amp;T Committee, a wider review of the Risk is being undertaken.</p> <p>Progress on the Road Danger Reduction and Active Travel Plan continues with the aim of reducing road danger across the Square Mile.</p> <p><b>18 Apr 2019</b></p>				Increasing
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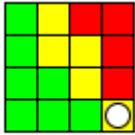
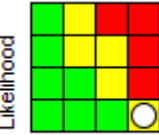

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR20k	<p>The Road Danger Reduction and Active Travel plan 2018 – 2023 (RDR Plan) aims to meet the Vision Zero objectives outlined in the Mayor’s Transport Strategy, whereby the annual number of people killed or seriously injured (KSI) in traffic incidents is zero by 2041.</p> <p>To meet this challenging target the plan proposes a number of behaviour change, enforcement, engagement and engineering initiatives that support safer travel by active modes (walking and cycling), whilst reducing road risks at source.</p>	<p>Safe Vehicles – Progress continues subsequent to the Van Operators Working Group. Work has begun with insurers and technology providers to develop a pilot scheme to monitor driver behaviour with a view to reducing premiums for better drivers.</p> <p>Safe Streets - Lunchtime Streets trial on St Mary Axe was successfully delivered to open traffic free streets to the community at lunchtime peaks. Feedback from over 250 people interviewed has been tremendously positive, with 95% supporting a traffic free environment on St Mary Axe at lunchtime.</p> <p>Safe Behaviours – A rider’s forum has been established with participants from cycling and motorcycling lobby groups, the City of London Police, food and goods delivery companies present. Progress on training riders and promoting considerate cycling is underway.</p>	Zahur Khan	18-Apr-2019	31-Dec-2023

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR21 Air Quality</b> 07-Oct-2015 Jon Avern	<p><b>Cause:</b> Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p><b>Event:</b> Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p><b>Effect:</b> The consequences both acute and chronic may include:            An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services).            An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers).            Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits.            Persistent poor air quality may affect the longer term health of the City population.            Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>	<p>Likelihood</p> <p>Impact</p>	12	No change from previous assessment  <b>03 Apr 2019</b>	<p>Likelihood</p> <p>Impact</p>	6	31-Dec-2020	 Constant

Action no	Action description	Latest Note			Action owner	Latest Note Date	Due Date
CR21 001i	Pilot an ultra-low emission street in the City of London.	Feasibility study complete. Consultation complete.			Jon Avern	03-Jan-2019	31-Dec-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
CR26 Brexit - Organisational Impact	<p><b>Cause</b> – The outcome of Brexit negotiations does not secure continuity of contracts, access to talent, ongoing grant funding and/or security of supply chains</p> <p><b>Event</b> – The City Corporation services fail to prepare appropriately for the UK departure from the EU in March 2019</p> <p><b>Effect</b> – There are a range of potential impacts.The City Corporation’s services are disrupted as supply chains and contracts are reassessed, potentially increasing cost and reprioritisation of resources. Uncertainty over multi-year grants may undermine the City Corporation’s ability to deliver or commit to services. The City Corporation may be unable to access the specialist talent and supply chains it needs to deliver some of its services.</p>	<div style="display: flex; align-items: center;"> <div style="margin-left: 10px;">12</div> </div>	<ul style="list-style-type: none"> <li>Corporation officers attending City of London Police Brexit Planning and Gold Command meetings.</li> <li>Submissions are being made weekly to MHCLG, via London Councils reporting on whether a range of indicators have got ‘worse’, ‘better’ or ‘stayed the same’. The more detailed data submissions are now made monthly.</li> <li>Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness.</li> <li>Simon Latham &amp; Emma Lloyd have been nominated as the Corporation's point of contact for London Councils briefings and work on this.</li> <li>A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed.</li> <li>The rhythm of Brexit Planning and review meetings has been increased to every 10 days.</li> <li>The Town Clerk is chairing the London Strategic Coordination Group due to meet daily until 31 March</li> </ul>	<div style="display: flex; align-items: center;"> <div style="margin-left: 10px;">6</div> </div>	30-Jun-2019	Constant

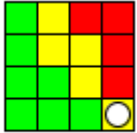
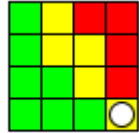
Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR26b	Progress on all departmental Brexit risks and their mitigations be reported monthly to Summit Group	<ul style="list-style-type: none"> <li>• Corporation officers attending City of London Police Brexit Planning and Gold Command meetings.</li> <li>• Submissions are being made weekly to MHCLG, via London Councils reporting on whether a range of indicators have got 'worse', 'better' or 'stayed the same'. The more detailed data submissions are now made monthly.</li> <li>• Town Clerk attending regular meetings with the GLA, LLAG and London Councils on Brexit Preparedness.</li> <li>• Simon Latham &amp; Emma Lloyd have been nominated as the Corporation's point of contact for London Councils briefings and work on this.</li> <li>• A review of the various Brexit risks was undertaken by Summit and a number of changes to scores agreed.</li> <li>• The rhythm of Brexit Planning and review meetings has been increased to every 10 days.</li> <li>• The Town Clerk is chairing the London Strategic Coordination Group due to meet daily until 31 Marc</li> </ul>	Simon Latham	01-Apr-2019	12-Apr-2019

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CR10 Adverse Political Developments</b>	<p><b>Cause:</b> Policy issues that may compromise the City's operation as an international financial marketplace to which the City Corporation's functions are aligned; other financial services issues that make the City Corporation vulnerable to political criticism; local government proposals that call into question the justification for the separate administration of the Square Mile; overarching political hostility.</p> <p><b>Event:</b> Changes in international relationships particularly those with the EU; reputational questions related to financial institutions; local government changes in London; increase in political hostility to the Corporation.</p> <p><b>Impact:</b> Damage to the City's ability to put its case nationally and internationally and to the City's standing as a dedicated international financial marketplace. The City</p>	 <p>Likelihood</p> <p>Impact</p>	8	Constant attention is given to the form of legislation affecting the City Corporation and the broader City, and any remedial action pursued. Making known the work of the City Corporation in the financial sphere among opinion formers, particularly in Parliament and central Government, is also part of the apparatus by which the City's voice is heard and by which the Corporation is seen to be "doing a good job" for London and the nation for a crucial sector of the economy; the foremost consideration at the present time is the ongoing uncertainty in relation to Brexit. The	 <p>Likelihood</p> <p>Impact</p>	8	31-Mar-2020	

## Appendix 2a

22-Sep-2014 Paul Double	of London Corporation would be compromised if the City's position as a worldleading financial and professional services centre were undermined. Loss of City Corporation functions as a result of adverse attitudes towards the Corporation.			same approach is replicated in respect of professional services; the digital economy; arts and culture; and other activities undertaken by the City Corporation. <b>01 Apr 2019</b>				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR10a	Monitoring of Government legislation and proposed regulatory changes.	Relevant Bills in the Government's legislative programme will be identified and City Corporation departments alerted to issues of potential significance as the measures are introduced in the new Session. Action taken through negotiation with departmental officials or amendments tabled in Parliament as required. The legislative consequences of Britain leaving the EU as they may affect the Corporation and the City more generally as an international financial centre is an ongoing key priority.	Paul Double	01-Apr-2019	31-Mar-2020
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	01-Apr-2019	31-Mar-2020
CR10c	Engagement with key opinion informers in Parliament and elsewhere. Programme of work to monitor and respond to issues affecting the reputation of the City Corporation.	Liaison with the City's MP and other MPs, Peers and Select Committee of both Houses on matters of importance to the City, including increased engagement on Brexit-related issues. Working with other organisations, including the Financial Markets Law Committee, to analyse the legal framework when an outcome on Brexit is agreed. 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	01-Apr-2019	31-Mar-2020

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR17 <b>Safeguarding</b>	<p><b>Cause:</b> Not providing appropriate training to staff, not providing effective management and supervision, poor case management</p> <p><b>Event:</b> 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><b>Effect:</b> 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>	 <div>Likelihood</div> <div>Impact</div>	8	<p>The results of the Ofsted focused visit on care leavers has been reported to the Community and Children's Services Committee in January 2019 and to the Audit and Risk Management Committee in March 2019. The outcome was positive with much evidence demonstrating a strong offer for care leavers. Three recommendations have been included on the Children's Social Care Services Improvement plan.</p> <p>A review of the Safeguarding arrangements in the City of London family of schools has been completed and a draft report is being prepared. The report will be presented to the Education Board in May 2019.</p> <p>The Children Act 2004 as amended by the Children and Social Care Act 2017 places new duties on key agencies in a local area. Local Safeguarding Children Boards will be replaced by new local safeguarding partnership arrangements from September 2019</p> <p><b>17 Apr 2019</b></p>	 <div>Likelihood</div> <div>Impact</div>	8	31-Mar-2020	Constant

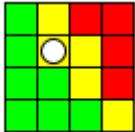
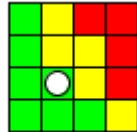



## Appendix 2a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR17q	A review is being carried out into the business continuity arrangements for the staff providing the out of hours social care service. Following the review, a detailed and clear protocol for addressing issues regarding connectivity to the City of London Social Care system issues will be developed.	There have been some issues with the Out of Hours Social Care service being able to connect to the City of London Social Care System and work is being undertaken to address the issue. A full diagnosis of the issues has been completed and an action plan is being monitored by the Mosaic Advisory Board to ensure a permanent solution is in place. Ongoing monitoring and maintenance of the arrangement with Hackney will be subject to review at the People Senior Management Team meetings.	Hasna Begum; Sharon McLaughlin	12-Apr-2019	30-Jun-2019
CR17r	A raising awareness campaign is being planned and will be launched shortly. This will cover education and early years settings and will include the role of the Local Authority Designated Officer and safeguarding enquiries.	A raising awareness campaign around Safeguarding and the role of the LADO within the Education Sector in the City of London will take place during the current academic year. A training gap analysis has been carried out and training to address this will be delivered during the summer term. A conference for staff from the sector is being planned for September 2019.	Theresa Shortland	12-Apr-2019	30-Sep-2019
CR17S	A review of safeguarding arrangements within the City of London family of schools, including the CoL academies has been commissioned by the Education Division. It is anticipated that the review will be completed by 31 March 2019	A review of the Safeguarding arrangements in the City of London family of schools has been completed and a draft report is being prepared. The report will be presented to the Education Board in May 2019.	Anne Bamford	12-Apr-2019	31-May-2019
CR17T	The Children Act 2004 as amended by the Children and Social Care Act 2017 places new duties on key agencies in a local area. Local Safeguarding Children Boards will be replaced by new local safeguarding partnership arrangements. These arrangements place statutory responsibilities upon 3 agencies to develop and implement a new partnership, these are Local Authorities, Health and Police.	The City and Hackney Safeguarding Children Board will be replaced by the City and Hackney Safeguarding Children Partnership (CHSCP). The new governance arrangements need to be approved by the Department for Education by end of June 2019 and in place and operational by September 2019. The final decision regarding the CHSCP governance arrangements will be made by the Chief Officers of the City of London Corporation Department of Community and Children Services, Hackney Children Services, the City and Hackney Clinical Commissioning Group, the City of London Police and the Metropolitan Police Service in Hackney. A report was presented to the Community and Children Services Committee in April 2019 setting out the details of the arrangements and the options currently being considered.	Sharon McLaughlin; Chris Pelham	17-Apr-2019	30-Sep-2019
CR17U	DCCS will be working with Town Clerks Department to deliver a Member briefing programme in 2019 that will enhance member knowledge and understanding of key safeguarding areas across children and adults.	<p>The aim of the sessions is to raise awareness of Member responsibilities in respect of safeguarding. The briefings will include;</p> <ul style="list-style-type: none"> <li>• The Mental Capacity Act and Making Safeguarding Personal.</li> <li>• Adult Social Care</li> <li>• Rough Sleepers</li> <li>• SEND/Safeguarding- Education and Safeguarding</li> </ul>	Chris Pelham	17-Apr-2019	31-Dec-2019

		<ul style="list-style-type: none"> <li>• The role of Corporate Parent- Children's Social Care</li> </ul>			
CR17V	The City of London Safeguarding Policy was implemented in 2014. It is subject to review on an annual basis. A corporate safeguarding audit was undertaken in 2018/19.	<p>The Corporate safeguarding audit which focused on:</p> <ul style="list-style-type: none"> <li>• The safeguarding responsibilities of each of the City of London's departments</li> <li>• Departmental heads' understanding of these responsibilities</li> <li>• Governance structures for monitoring and reporting safeguarding issues</li> <li>• Responses to safeguarding incidents and how these were reported to the relevant committee(s)</li> </ul> <p>The final audit report and recommendations will be presented to summit, Chief Officers Group and Audit and Risk Management Committee.</p>	Chris Pelham	17-Apr-2019	31-Oct-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
<b>CR25 General Data Protection Regulation Compliance</b>	<p>Cause: Inadequate departmental systems and procedures are in place which meet the additional requirements of GDPR legislation.</p> <p>Event: CoL is unable to comply with GDPR requirements - poor, non-secure and non-compliant processing of personal data.</p> <p>Effect: CoL exposed to adverse publicity, reputational damage, financial penalties imposed by the Information Commissioners Office. Increased volume of Subject Access Requests.</p>	 <p>Likelihood</p> <p>Impact</p>	6	<p>1.The GDPR project was closed down on 29.03.2019. There are a very few actions that require redress and the C&amp;CS Information Compliance Team will be advising departments on these issues during April 2019.</p> <p>2.GDPR non-compliance remains on the corporate risk register with a revised title.</p> <p>3. Mazars will undertake an audit of GDPR compliance in May 2019. The audit report will be reported to Audit and Riak Committee following receipt of an agreed final version.</p>	 <p>Likelihood</p> <p>Impact</p>	4	29-Mar-2019	

## Appendix 2a

01-Dec-2017 Michael Cogher				03 Apr 2019				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR25h	<ul style="list-style-type: none"> <li>Departments to supply existing records retention schedules to supplement the CoLC corporate retention schedule.</li> <li>GDPR compliance team to advise and review departmental retention schedules and liaise with departmental AIN representatives on required improvements.</li> </ul>	The remaining departments are working on finalising their data retention schedules.	Michael Cogher	26-Mar-2019	28-Feb-2019
CR25l	<ul style="list-style-type: none"> <li>Paper to summit group on deletion of W drive data.</li> <li>Data discovery tool procurement</li> </ul>	1. IS to deliver a business case to secure funding for a data discovery tool.  2. Deputy IT Director & Head of Business Change and Engagement are developing a proposal for the management of the W:Drive.	Matt Gosden; Sean Green	20-Feb-2019	31-May-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
<b>CR27 Change Management</b>	<b>Cause:</b> Failure to appreciate the scale, complexity and impact of change and take the necessary steps to ensure the organisation has the capability and capacity to change (to stay relevant) <b>Event:</b> poorly managed and ineffective change <b>Effect:</b> <ul style="list-style-type: none"> <li>Disruption to service, poor performance and damage to reputation</li> <li>Outcomes not achieved, reduction in benefits (financial and non-financial)</li> <li>Failure to change or keep up with change, organisational</li> </ul>	 Likelihood	6	<ul style="list-style-type: none"> <li>Corporate Strategy &amp; Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently</li> <li>Plan is to bring these capabilities together as part of a single, streamlined officer governance system in 2020-21.</li> <li>Departmental workforce plans are being embedded in Business Plans</li> </ul>	 Likelihood	4	31-Mar-2020	

<p>paralysis and reduction in ability to remain relevant</p> <ul style="list-style-type: none"> <li>• Adverse impacts on external stakeholders including businesses and residents.</li> <li>• Loss of valued staff and / or negative mental health impacts for staff.</li> </ul>			<p>with a forward look to show full upcoming requirements</p> <ul style="list-style-type: none"> <li>• Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review</li> <li>• A dedicated Senior HR Change Business Partner has been appointed to support Chief Officers in planning cross-cutting or significantly impactful change and to produce a Change Management Manual to support managers and employees through change and an enhanced Organisational and Development Team is working directly with departments and teams to embed change.</li> <li>• Departmental action plans are being developed and together with the fundamental review will inform the work of the HR team. A new Management programme has been rolled out which is receiving very good feedback. A number of new tools have been introduced for workplace interventions to support change and the Learning and OD team have been to most SLT/DMTs to discuss support for change. The project management strand of the Academy is being developed to support both major projects and restructures.</li> <li>• The new appraisal system as a developmental appraisal has been rolled out from 1st April using the new behaviours and the 9 box grid</li> </ul>				
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## Appendix 2a

05-Dec-2018 Chrissie Morgan; Kate Smith				02 Apr 2019				Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR27a	To build the capability to look across existing and proposed programmes of work and assess their comparative benefits, risks and resource requirements and understand their interdependencies	<ul style="list-style-type: none"> <li>Corporate Strategy &amp; Performance's Corporate Engagement Lead role 12m pilot in place Dec 2018. PMO's Programme Management Review running concurrently. Plan to bring these capabilities together as part of a single, streamlined officer governance system</li> <li>Departmental workforce plans are being embedded in Business Plans with a forward look to show full upcoming requirements</li> </ul>	Kate Smith	02-Apr-2019	31-Mar-2020
CR27b	To help staff understand why, how and what we're changing to increase engagement and take-up and deliver benefits	Corporate Engagement Lead and Internal Communications delivering a corporate change campaign starting by feeding back and communicating actions in response to the Staff Survey results and cascading information about the fundamental review	Kate Smith	02-Apr-2019	31-Jan-2020
CR27c	To build capacity and develop and grow our in-house capability and skills to manage change	<ul style="list-style-type: none"> <li>A dedicated Senior HR Change Business Partner has been appointed to support Chief Officers in planning cross-cutting or significantly impactful change and to produce a Change Management Manual to support managers and employees through change and an enhanced Organisational and Development Team is working directly with departments and teams to embed change.</li> <li>Departmental action plans are being developed (from the engagement survey) and together with the fundamental review will inform the work of the HR team. A new Management programme has been rolled out which is receiving very good feedback. A number of new tools have been introduced for workplace interventions to support change and the Learning and OD team have been to most SLT/DMTs to discuss support for change. The project management strand of the Academy is being developed to support both major projects and restructures.</li> <li>The new appraisal system as a developmental appraisal has been rolled out from 1st April using the new behaviours and the 9 box grid.</li> </ul>	Chrissie Morgan	02-Apr-2019	31-Jul-2019
CR27d	To put in place a new behavioural framework that is accessible and achievable at every level within the organisation to support collaboration and innovation	The new framework is agreed and in place to be used from 1st April 2019	Chrissie Morgan	02-Apr-2019	30-Apr-2019



























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## Corporate risks - Review history by status









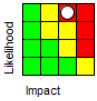















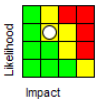




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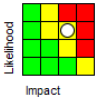

















Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
CR01	Resilience Risk	20-Mar-2015		12		12	09-Apr-2019	12		Possible	Major		Constant
							05-Mar-2019	12		Possible	Major		
							01-Feb-2019	12		Possible	Major		
							01-Feb-2019	12		Possible	Major		
							04-Dec-2018	12		Possible	Major		
CR02	Loss of Business Support for the City	22-Sep-2014		12		8	28-Mar-2019	12		Possible	Major		Constant
							05-Mar-2019	12		Possible	Major		
							01-Feb-2019	12		Possible	Major		
							03-Jan-2019	12		Possible	Major		
							05-Dec-2018	12		Possible	Major		
CR09	Health and Safety Risk	22-Sep-2014		12		12	29-Mar-2019	12		Possible	Major		Constant
							04-Mar-2019	12		Possible	Major		
							01-Feb-2019	12		Possible	Major		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
							03-Jan-2019	12		Possible	Major		
							07-Dec-2018	12		Possible	Major		
CR10	Adverse Political Developments	22-Sep-2014		8		8	01-Apr-2019	8		Rare	Extreme		Constant
							30-Jan-2019	8		Rare	Extreme		
							03-Jan-2019	8		Rare	Extreme		
							29-Oct-2018	8		Rare	Extreme		
							05-Oct-2018	8		Rare	Extreme		
CR17	Safeguarding	22-Sep-2014		8		8	20-Mar-2019	8		Rare	Extreme		Constant
							25-Jan-2019	8		Rare	Extreme		
							13-Nov-2018	8		Rare	Extreme		
							13-Nov-2018	8		Rare	Extreme		
							03-Oct-2018	8		Rare	Extreme		
CR20	Road Safety	23-Oct-2015		12		6	18-Apr-2019	12		Possible	Major		Increasing
							26-Feb-2019	6		Possible	Serious		
							22-Jan-2019	6		Possible	Serious		
							04-Dec-2018	6		Possible	Serious		
							04-Oct-2018	6		Possible	Serious		



Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
CR21	Air Quality	07-Oct-2015		12		6	03-Apr-2019	12		Possible	Major		Constant
							07-Mar-2019	12		Possible	Major		
							05-Feb-2019	12		Possible	Major		
							05-Feb-2019	12		Possible	Major		
							17-Dec-2018	12		Possible	Major		
CR23	Police Funding	21-Nov-2016		16		12	27-Mar-2019	16		Likely	Major		Constant
							13-Mar-2019	16		Likely	Major		
							07-Jan-2019	16		Likely	Major		
							19-Dec-2018	16		Likely	Major		
							06-Dec-2018	16		Likely	Major		
CR24	Operational Security	07-Jun-2017		24		16	09-Apr-2019	24		Possible	Extreme		Constant
							04-Mar-2019	24		Possible	Extreme		
							12-Feb-2019	24		Possible	Extreme		
							09-Jan-2019	24		Possible	Extreme		
							10-Dec-2018	24		Possible	Extreme		
CR25	General Data Protection Regulation	01-Dec-2017		6		4	03-Apr-2019	6		Possible	Serious		Constant
							26-	6		Possible	Serious		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
	Compliance						Mar-2019			ble	s		
							04-Feb-2019	6		Possible	Serious		
							16-Jan-2019	6		Possible	Serious		
							14-Nov-2018	6		Possible	Serious		
CR26	Brexit – Organisational Impact	11-Oct-2018		12		6	20-Mar-2019	12		Possible	Major		Constant
							11-Mar-2019	12		Possible	Major		
							07-Mar-2019	12		Possible	Major		
							22-Feb-2019	12		Possible	Major		
							11-Feb-2019	12		Possible	Major		
CR27	Change Management	05-Dec-2018		6		4	02-Apr-2019	6		Possible	Serious		Constant
							04-Mar-2019	6		Possible	Serious		
							08-Feb-2019	6		Possible	Serious		
							03-Jan-2019	6		Possible	Serious		
							05-Dec-2018	6		Possible	Serious		

# Top Red departmental risks - detailed report EXCLUDING COMPLETED ACTIONS

**Report Author:** Paul Dudley

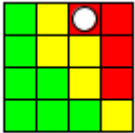
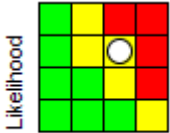

**Generated on:** 25 April 2019



Rows are sorted by Risk Score

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CLF-012 Freemen's Estate Development Plan 15-Nov-2016 Susan Williams	<b>Cause(s):</b> If the City committee programme reports are not supported by the appropriate committees. <b>Event:</b> the City Corporation approval for loan funding will not meet project timescales. <b>Effect:</b> resulting in key objectives / activities not being delivered on time and reputational damage to the School.	Likelihood  Impact	24	Freeman's is currently in limbo awaiting approval for a loan to cover the completion of this project, which started sixteen months ago.  <b>26 Mar 2019</b>	Likelihood  Impact	12	30-Apr-2019	 Constant




Action no	Action description	Latest Note			Action owner	Latest Note Date	Due Date
CLF-012A	Work with Chamberlain and Surveyor's Departments to develop and implement plan. Drive fundraising initiatives to ensure plan is achievable.	The gateway process is currentl between committees with a further review scheduled for 8th April 2019.			Roland Martin	26-Mar-2019	31-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
<b>BBC Builds 006 Ex Halls Electrical Condition</b>  08-Feb-2019	<b>Cause:</b> Poor condition of HV (High Voltage) and Low Voltage switchgear and associated equipment. <b>Event::</b> Loss of electrical services. Failure of electrical safety equipment. Contaminated oil with banned substances. <b>Impact:</b> Closure of one or both Ex Halls and Cinemas 2 and 3, financial, operational and reputational impact. Fire risk. Risk to health.	 Likelihood Impact	16	<p>A recent inspection highlighted several inadequacies in the electrical infrastructure. The oil in the HV transformers are contaminated with BCPs (Bichlorophenyls). These are banned substances that have to be registered with the environmental agency and managed within set guidelines. The only way to remove them is by changing the oil, ca. £50k or to replace the transformers ca. £70 - 80k). The transformers must be 40 years old (inspected lifecycle 25 years).</p> <p>Both the HV and LV systems are served by backup chargers, neither of which are operational/repairable. The purpose of these is purely safety; without these there is risk of fire in the event of an electrical fault. The general condition of the HV switchgear, LV switchgear, buzz bars and electrical infrastructure is poor, partially due to the age of the equipment, and would not meet today's safety standards.</p> <p>Initial works scheduled for 12 April which should reduce the fire risk. The funding required to ensure reliability of electrical infrastructure is significant and will be part of the £4.8m Bow Wave funding that has been requested with the City Surveyor to be decided on by CASC.</p> <p><b>25 Mar 2019</b></p>	 Likelihood Impact	12	01-May-2019	

## Appendix 3a

Jonathon Poyner							Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC Builds 006a	Specified repairs to HV and LV systems and replacement of 2 no chargers.	In the long term, the likelihood of further reducing the risk will require major investment to replace or upgrade electrical plant as per Ex Halls bow wave.	Jonathon Poyner	25-Mar-2019	01-May-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
<b>BBC Commerce 003</b> <b>Impact of Brexit on the Movement of Talent, Technical and Production Staff and Temporary Movement of Cultural Goods</b>	<p><b>Cause:</b> The outcome of Brexit negotiations impacts the ability of EU nationals to live/work in the UK and for cultural goods to move across borders.</p> <p><b>Event:</b> The Barbican Centre is unprepared for the loss (or partial loss) of access to the best talent and specialist artists, performers, technical staff and cultural goods from the EU to produce a varied and attractive cultural programme.</p> <p><b>Effect:</b></p> <ol style="list-style-type: none"> <li>1. The cultural programme offered is not as varied and attractive as it would otherwise have been.</li> <li>2. Customer expectations are not met with resultant reductions in revenues for both the Barbican Centre and catering contractors.</li> <li>3. The reputation of the Barbican Centre (and the Culture Mile) as a premier cultural location is adversely affected.</li> <li>4. Additional costs incurred to produce the Centre's cultural programme.</li> <li>5. Less attractive for EU based artists.</li> <li>6. Reduction in income streams.</li> <li>7. Reduced footfall.</li> <li>8. Procurement and contractor issues.</li> </ol>	 <p>Likelihood</p> <p>Impact</p>	16	As summarised in our report to the Brexit Committee chaired by the Town Clerk, we have continued to monitor and mitigate as appropriate. We continue to work with the City including the City Surveyor and Procurement on the operational risks and we have conducted our own internal BCP sessions as regards mitigating operational risks locally. Our move towards ever closer integration with the City over the past couple of years has meant that many of our important contracts are corporate contracts and the City Surveyor and City Procurement have been working with us over the years to ensure any new contracts have built in redundancy and mitigate risks including Brexit. The Arts Team continue to work with touring companies etc. and a separate paper is provided to the City's Brexit Risk Committee as this risk remains	 <p>Likelihood</p> <p>Impact</p>	12	12-Apr-2019	

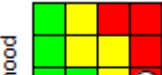


## Appendix 3a

<p>Page 36</p> <p>12-Dec-2018</p> <p>Nicholas Kenyon</p>				<p>very live for the City and departments. Government are aware of potential issues, including for example people, and this has been fed in as required by the various bodies including sector and City. We continue to monitor closely and continue to work on mitigations.</p> <p>Event Cancellation Comms plan has been agreed with the City Communications team.</p> <p>We continue to liaise with the City Surveyor's team who have been looking at continuity planning and likely contracts of supply. We have been working with Procurement and the City Surveyor's team to ensure we minimise risk in existing or new contracts. We have conducted our own internal BCP sessions to look at operational issues and we continue to work on comms plans and contractual issues for the arts side.</p> <p><b>01 Apr 2019</b></p>				<p>Constant</p>
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC Commerc 003a	Ensure Brexit related press and Government actions are monitored.	Continued Monitoring.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019
BBC Commerc 003b	Ensure potential risks and mitigations are identified and implemented	Teams are monitoring their own risk assessments and in particular the Arts and Commercial areas, which are then fed into Management for oversight. These are live documents and we are monitoring the evolving situation.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019

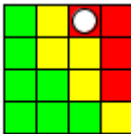
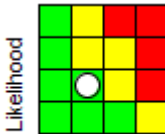
## Appendix 3a

		The Brexit Risk Assessment document, (mentioned above), managed by Nick Adams, reporting to the Directorate, includes risks which the Directorate and teams deem necessary to record in support of the Pentana risk entry.			
BBC Commerec 003c	Ensure business plan includes flexibility and allows for Brexit modelling	We respond to enquiries from EU based partners on a case by case basis. Ongoing discussion with City Solicitors. Ongoing conversations with Chamberlain's with regards to the business model. Ongoing discussions with City Surveyor and Procurement as regards City centralised contracts and supply.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019
BBC Commerec 003d	Ensure that suitable comms plans are in place.	Teams continue to work with Comms and City as appropriate to ensure a consistent message is put out as and when required. Management and teams working closely to ensure team risk assessments are live and the implications understood by management.  Event Cancellation Comms plan has been agreed with the City Communications team.	Sandeep Dwesar	01-Apr-2019	12-Apr-2019

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>BBC H&amp;S 005</b> <b>Failure to Deliver the Fire-Related Projects</b>  06-Jul-2018 Jonathon Poyner	<b>Cause:</b> Inability to deliver the fire related projects in a timely and prioritised manner, resulting from insufficient resource, inability to get to access the areas or issues due to Listed Building Regulations, planning, etc. <b>Event:</b> Failure to deliver the fire related projects <b>Impact:</b> Delays to the projects would bring continued risk and need to maintain the current mitigations, incurring costs. Also increased risk of fire spreading more quickly or further	 Likelihood Impact	16	Papers have now been back to the CWP peer review and have been passed by Projects Sub Committee. Works commence on site with appropriately qualified consultants within the next month. We continue to work with our colleagues at the City to find appropriately qualified consultants and workable solutions. The delivery of the works will be phased so that we can commence as soon as the consultants submit their report and recommendations for each zone of the building.  <b>22 Mar 2019</b>	 Likelihood Impact	2	01-Sep-2021	  Constant

## Appendix 3a

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
BBC H&S 005a	Project planning and control during life of the projects to ensure fire safety while maintaining business continuity.	Project plans and progress discussed at Fire Strategy meetings with any further mitigations planned as a result. Closer working across the Barbican teams with support from CoL colleagues delivers compliance while waiting for project plans to be passed at various committees.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005b	The projects comply with current and respond to subsequent legislative changes during the lifetime of the projects; ensuring the contractors have engaged suitable consultants for the projects.	Procurement have assisted with contractor suitability supported by our CoL colleagues.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005c	Projects being delivered within the agreed time frames and agreed budgets.	Fire Signage is approved at Gateway 2 and will not commence straight to Gateway 5 for approval. The consultants for will commence the survey for Fire Stopping/compartimentation, Fire Doors and Emergency Lighting from 8th April. The site is Zoned from A-G and as each Zone is surveyed, the results are issued for tendering to companies to complete the work. This will be a rolling programme.	Jonathon Poyner	25-Mar-2019	01-Sep-2021
BBC H&S 005d	Select the appropriate contractors in line with CoL control of contractors' guidance who have developed robust business continuity plans following Brexit.	Correct level of qualified consultants are now approved. Risk of availability remains.	Jonathon Poyner	06-Mar-2019	01-Sep-2021
BBC H&S 005e	Delivering CIP following the outputs from FRAs and delivering the changes required to ensure PPMs.	Work continues in populating our PPMs. Currently sourcing a H&S software system to assist in our PPM programming.	Jonathon Poyner	06-Mar-2019	01-Sep-2021

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CHB IT 026 Failure to commence CoLP IT Modernisation</b> 01-Mar-2019 Kevin Mulcahy	<b>Cause:</b> A lack of financial provision in budgets or contingency funding may cause a failure to commence CoLP IT Modernisation projects, as planned and on time. Decreased provision may require the work to be re-prioritised, reduced in scope or extended over a longer period, any of which would have a negative effect. <b>Event:</b> A failure to begin essential projects in Jan 2019 and the planned programmes of IT Modernisation at the beginning of FY 2019/20 could at a minimum lead to the following;	 Likelihood	16 Impact	Funding secured. Project to be mobilised. This is still a risk due to timescales available.  17 Apr 2019	 Likelihood	4 Impact	30-Apr-2019	Constant

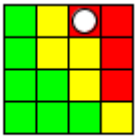
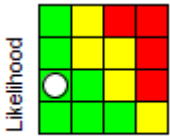



## Appendix 3a

Page 39	<ul style="list-style-type: none"> <li>• A delay in adopting O365 based identity access management (IAM) and aligned applications in suitable time frames. This in turn could lead to reduced access to national databases such as PND and NLEDS products.</li> <li>• Insufficient time to update O/S to Windows 10 before Windows 7 becomes unsupported by MS. As well as a vulnerability, this will be a compliance issue / breach of policy. A support package would also need to be implemented for unsupported Win7 environment.</li> <li>• Reputational Damage due to reduced ability to work with other forces and meet Home Office expectations, as well as not meeting the Corporate Plan and ability to complete other planned projects.</li> </ul> <p><b>Effect:</b>The effect of prolonging the life of the current technology or delaying in the adoption of nationally agreed police IT architecture could lead to a partial or total failure of CoLP systems and data loss/compromise, in turn leading to operational failure and possible physical, operational, reputational and financial damage. Failure to provide service to the public.</p>							

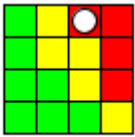
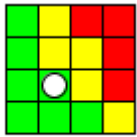

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 026b	Using available funds to start some initial design work	Work commissioned on early design for Office 365 Modernisation	Kevin Mulcahy	26-Mar-2019	30-Apr-2019
CHB IT 026c	Force advised to make financial provision for extended support for legacy Windows 7 estate.	Documented risk notified to force.	Andrew Bishop	25-Mar-2019	30-Apr-2019

## Appendix 3a

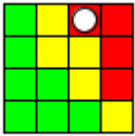
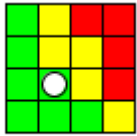

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CHB IT 027 IP Telephony and Call recording – Cessation of dependency services</b> 01-Mar-2019 Matt Gosden	<b>Cause:</b> The Force receives cessation notices for key dependency services on which the Telephony and Call recording rely. <b>Event:</b> The Force does not have enough notice to remediate the risk of ceased or ceasing essential services on which Telephony and Call recording rely. <b>Effect:</b> Essential Telephony and Call recording services are not available, leading to severe reputational and operational risk to the Force and potential public safety and welfare risks to the wider public.	 Likelihood	16	Financial and Project Approval has been gained.  Work has commenced on migration project  <b>26 Mar 2019</b>	 Likelihood	2	31-May-2019	  Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CHB IT 027c	Expand SIP Capacity with current provider	PO in process	Matt Gosden	26-Mar-2019	03-Apr-2019
CHB IT 027d	Build virtual Environment	Expand PoC virtual environment to form base new environment on which to deliver telephony services and ported DDI ranges.	Matt Gosden	27-Mar-2019	30-Apr-2019
CHB IT 027e	Configure New extensions in new Environment	Create internal configuration and migrated Mitel databases and user accounts from old estate to new across all Police sites.	Matt Gosden	27-Mar-2019	15-May-2019
CHB IT 027f	Implement Call Recording	Based on Business requirements and High and Low level designs, implement virtualised core call recording platform and on-premise recorder for Integrated Command and Control System.	Matt Gosden	27-Mar-2019	15-May-2019
CHB IT 027g	Completion of Porting	Ported DDI ranges land and deliver incoming call traffic over new SIP to new environment. Test.	Matt Gosden	27-Mar-2019	29-May-2019

## Appendix 3a

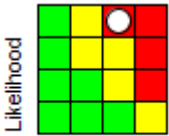
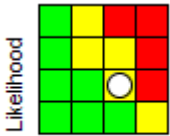
Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CHB IT 029 2020 Contract Planning and Procurement</b> 01-Mar-2019 Kevin Mulcahy	<b>Cause:</b> A lack of financial provision for the work required to plan and undertake the design, procurement and transition processes for migration from the Agilisys Managed Service Contract in August 2020. <b>Event:</b> The Corporation will not have appropriate contracts in place to support the business when the current IT Managed Service Contract expires in August 2020. The IT Department will not have enough time or resources available to complete all required activities. <b>Effect:</b> The IT department will not be in a position to provide the appropriate and contractually sound service to the business.	 Likelihood	16 Impact	<b>Decision on funding delayed. It is now expected in April 2019</b>  26 Mar 2019	 Likelihood	4 Impact	30-Apr-2019	  Increasing

## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>CLF-014</b> <b>Political changes affecting country, City of London, and School</b>  07 Jun-2017 Richard Dolan	<b>Cause:</b> Considerable uncertainty of future (Brexit/Economic uncertainty/political uncertainty). <b>Event:</b> Change to parental fees (VAT) <b>Impact:</b> Loss of pupils (income) risk to future of Freemen's.	 Likelihood Impact	16	Concerns regarding Brexit (consequences could include relocation of families who have children in the school; compromised residential status of key members of non-teaching teams); regarding the status of independent schools which are at a low ebb nationally and - increasingly - locally; changes to Government which could lead to VAT on school fees; Government decisions regarding Teachers Pensions which will have a big impact on financial position of School.  <b>06 Feb 2019</b>	 Likelihood Impact	4	31-Jul-2019	          Increasing

Action no	Action description	Latest Note		Action owner	Latest Note Date	Due Date
CLF-014B	Exploration of increasing revenue through additional form. Brexit a reporting item for Governors and a strategic item at SLT meetings. Opening up lines of communication with parents over future. Discussions with Sodexo staff (European nationals).	Exploration of increasing revenue through additional form.  Brexit a reporting item for Governors and a strategic item at SLT meetings.  Opening up lines of communication with parents over future.  Discussions with Sodexo staff (European nationals).		Jemima Edney	10-Feb-2019	22-Mar-2019

## Appendix 3a

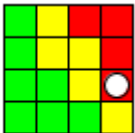


Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>GSMD SUS 004 Failure to mitigate against a potential fall in EU student numbers as a result of Brexit</b> 03-Dec-2018 Jo Hutchinson; Jeremy Newton	The Vice Principal and Director of Music has prepared a Brexit mitigation strategy for the Music department, which is more exposed to a potential drop in recruitment from the EU than the Drama or Production Arts departments and accounts 75% of total student enrolment at the School. The plan includes: seeking to identify potential alternative loan providers should EU students lose access to the Student Loan Company; offering targeted fee waivers to EU students to counter the effect of higher fees; developing a new suite of short courses and foundation courses that would enable more Home students who were unsuccessful at their first audition to attend the School; reaching out to new markets beyond the EU from where the School has not historically recruited in significant numbers; and introducing remote teaching.	 Likelihood Impact	16	No further updates at this stage  28 Mar 2019	 Likelihood Impact	8	31-Dec-2019	Constant

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Action no	Action description	Latest Note		Action owner	Latest Note Date	Due Date
GSMD SUS 004a	Develop a marketing strategy to deliver a significant increase in quality applications by students from outside the EU	We have recruited two members of staff to the Marketing team with student recruitment expertise and their objectives will include developing activity plans for increasing 2020 applications. We are also in the process of recruiting a Senior International Relations Manager who will be charged with developing an international strategy that is expected to have recruitment outcomes as part (though not all) of its objectives.		Jo Hutchinson	28-Mar-2019	31-Dec-2019
GSMD SUS 004b	Carry out targeted fundraising to raise new scholarship funds dedicated to EU students, and review strategic use of existing scholarship funds	We have made progress with the Scholarship Fund as fundraising seems to be going well this year. Progress has moved from 40% to 60% to reflect this.		Jeremy Newton	28-Mar-2019	31-Dec-2019
GSMD SUS 004c	Develop and introduce a range of short course and foundation courses to 'skill up' additional Home students who would otherwise be unable to attend the School	No further updates to report at this stage.		Jonathan Vaughan	28-Mar-2019	31-Dec-2019
GSMD SUS 004d	Develop a framework for the delivery of remote learning	No further updates to report at this stage.		Jonathan Vaughan	28-Mar-2019	31-Dec-2019
GSMD SUS 004e	Develop a more extensive strategy for Guildhall Profs to engage in overseas workshops and masterclasses – specifically targeting North America and Commonwealth	Developing a plan for a summer recruitment drive in Australia, based around an invitation to the ANAM String Quartet Festival.		Jonathan Vaughan	28-Mar-2019	31-Dec-2019

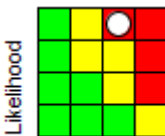
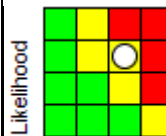

	Countries - a process that has a historic proven track record in generating significant increases in OS applications and enrolments				
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## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>MAN CCC 002 Working at Height</b> 28-Sep-2018 Vic Annells	<b>Cause:</b> Lack of effective management process and procedures for internal work at height including competency, supervision/management and protective systems  <b>Event:</b> Fall of persons and/or objects from height  <b>Effect:</b> Death or major life changing injuries, Enforcement action leading to prosecution and fines, financial losses, PI claim, Adverse effect on CoL/Court reputation / very negative publicity	 Likelihood Impact	16	The installation of new and the repair of some existing eye-bolts is due to commence in May 2019  <b>15 Apr 2019</b>	 Likelihood Impact	8	31-Jul-2019	  Decreasing

Action no	Action description	Latest Note		Action owner	Latest Note Date	Due Date
MAN CCC 002	This will flow from the Risk Assessment and Risk Register action Plan being developed.	Overall risk assessment for WaH tasks was agreed last year. Individual risks to be assessed by the technical teams with help from Margaret Jackson/Jan Horton.		Wayne Garrigan	07-Feb-2019	30-Jun-2019
MAN CCC 002	CoL H&S Advisor and external Consultant will be providing training to the in-house maintenance team and managers.	Once City Surveyor's contractors have completed the eyebolt works, the remainder of the training can take place.		Wayne Garrigan	07-Feb-2019	30-Jun-2019

## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>OSD 005 Pests and Diseases summary risk</b> 30-Aug-2017 Colin Buttery	<p><b>This risk summaries the pest and disease risks across the Open Spaces Department.</b></p> <p><b>Causes:</b> Inadequate biosecurity; purchase or transfer of infected trees, plants, soil and/or animals; 'natural' spread of pests and diseases from neighbouring areas.</p> <p><b>Event:</b> 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), Bleeding Canker of Horse Chestnut</p> <p><b>Impact:</b> 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.</p> <p>This risk is felt to be of departmental concern due to the potential biodiversity, financial and human health impacts associated with this risk.</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	Risk upgrade to Red by committee on 8 April 2019 to reflect the increased impact of OPM on our sites. <b>15 Apr 2019</b>	 <p>Likelihood</p> <p>Impact</p>	12	30-Apr-2020	 Increasing

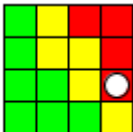


Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
OSD EF 007 a	Implement actions arising from Massaria survey. Survey to be undertaken twice yearly	Ongoing action.	Geoff Sinclair	15-Mar-2019	08-Apr-2020
OSD EF 007 d	Sudden Oak Death - Yearly inspection of all Rhododendron and Larch. Tender of Larch removal (now completed). To be done yearly	The Larch were found to be clear of Ramorum disease and have been felled. Rhododendron regrowth at The Warren Plantation was sprayed off. Sweet Chestnut will still need monitoring in 2019. However, with the bulk of Rhododendron removed and all the Larch felled, the risk of spores spreading in quantity is assessed as low at the moment.	Jeremy Dagley	15-Apr-2019	31-Mar-2020
OSD EF 007 e	Need to develop a biosecurity policy and then implement.	The OPM outbreak will now be dealt with under a separate risk action. The general Biosecurity Policy remains to be written for all the biosecurity risks. However, for Ramorum disease a protocol has been prepared and used by contractors during the Larch removal (see other risk actions). A Biosecurity Position Statement, to provide an interim summary of the	Jeremy Dagley	19-Mar-2019	30-Oct-2020



## Appendix 3a

		current approach, will be prepared by June 2019. Full biosecurity policy and INNS policy expected 2020.			
OSD EF 008 c	Develop an INNS policy - particular focus on OPM, although other areas of concern to be tackled.	Progress made with Ramorum disease control (see other risk actions) and with INNS strategy for the 2019 season, with arborist officer appointed as lead on OPM matters. Other INNS need to be considered and no recent progress with Policy writing. However, in the interim, while the policy is being prepared and INNS position statement will be prepared by June 2019 to set out the current approach and actions and main species of concern. There will also be some horizon scanning carried out to consider likely new pest species.	Jeremy Dagley	15-Apr-2019	01-Jul-2020
OSD NLOS 004 a	Sourcing of plants / trees through approved suppliers. Review six monthly	Tree provenance is considered, the Division will source and use planting stock consistent with best practice guidance. Ongoing action.	Richard Gentry	19-Mar-2019	30-Apr-2020
OSD NLOS 004 b	Trained arboricultural contractors carrying out spraying of Oak in previously infected areas. Funding secured, although costs may escalate.	A report detailing the costs and implications of OPM will come to the HHHWQP Committee in March 2019	Richard Gentry	19-Mar-2019	30-Apr-2020
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 is ongoing. Info on training shared through HSIG, Equalities Board, SLT, and other avenues.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD P&G 004 b	Annual tree inspections undertaken through qualified personnel through framework contract	Last set of tree inspections completed October 2018.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD P&G 004 c	Alerts issued to staff enabling additional checks to be undertaken as part of everyday working practice	Ongoing risk management action.	Martin Rodman	15-Mar-2019	30-Apr-2020
OSD P&G 004 d	Maintain relationships with industry bodies and neighbouring local authorities to ensure free flow of information.	Ongoing action.	Lucy Murphy; Jake Tibbets	15-Mar-2019	30-Apr-2020
OSD TC 004 a	Ensure staff training is kept updated to enable timely identification of pest and knowledge of correct treatment/prevention.	Ongoing. Training needs reviewed at regular team meetings, and proactively promoted via HSIG and other corporate boards.	Hadyn Robson	19-Mar-2019	31-Mar-2022
OSD TC 004 b	Annual tree inspections undertaken through qualified personnel	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022
OSD TC 004 c	Active involvement with leading partners such as Forestry Commission and Natural England	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022
OSD TC 004 d	Measures in place for staff, volunteers and contractors including public messages	Ongoing.	Hadyn Robson	15-Mar-2019	31-Mar-2022

## Appendix 3a



Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>OSD 007</b> <b>Maintaining the City's water bodies summary risk</b> 30-Aug-2017 Colin Buttery	<b>This risk summaries the property maintenance risks across the Open Spaces Department.</b> 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	<b>16</b> Impact	Assessed by Senior Leadership Team. Risk remains at red. Details of work being undertaken is covered under the divisional risk registers.  <b>19 Mar 2019</b>	 Likelihood	<b>8</b> Impact	31-Mar-2022	 Constant

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
OSD EF 004 a	Statutory inspection visits by engineer - 6 monthly in May and October	Inspections completed in January. Several mitigation works have been completed. Discussion of Wanstead Park Lakes was undertaken. Large scale works still need to be undertaken to reduce this risk.	Martin Newnham; Geoff Sinclair	19-Mar-2019	30-Apr-2020
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	Ongoing action - no significant developments since previous update.	Geoff Sinclair	19-Mar-2019	31-Dec-2022
OSD EF 004 c	Weekly inspection of reservoirs / dam. Review the use of penstock gates	Ongoing action.	Martin Newnham	15-Mar-2019	08-Apr-2020
OSD EF 004 e	Undertake scoping evaluations for Baldwins Pond and Birch Hall Park Pond	Ongoing action. Still awaiting further work.	Geoff Sinclair	15-Mar-2019	31-Dec-2022

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OSD NLOS 007 a	Training for lifeguards Training is ongoing activity Review annually	Ongoing -Training needs and requirements are identified in staff performance reviews and 1:1 meetings throughout the year.	Richard Gentry	18-Feb-2019	31-Mar-2020
OSD TC 006 a	Condition assessments carried out and options provided for approval Options costed Gateway 4 report drafted - Sept 16	Project at The Commons remains a goal for the future. Ongoing action to mitigate risk, to be updated as project moves forward.	Hadyn Robson	15-Mar-2019	31-Dec-2022
OSD TC 006 b	Inspections / monitoring of outflow condition Ongoing	All water bodies are actively monitored by relevant authorities within the City to ensure they comply with legislation.	Hadyn Robson	15-Mar-2019	31-Mar-2020

## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>SUR CB 003</b> <b>City Bridges - Substantial vessel strikes</b>  01-Nov-2018 Paul Wilkinson	<b>Cause:</b> Substantial Vessel strike  <b>Event:</b> Structural damage to bridge  <b>Impact:</b> Instability in bridge structure leading to possible collapse. Death / injury, disruption of traffic, reputational damage, additional costs to repair / replace	 Likelihood Impact	16	City Bridge Trust and Bridge House Estates are undertaking a governance review through an officer Task and Finish Group. The aspect of where risk ownership sits will be considered by this group in 2019.  In the interim further discussions have taken place to put in place a Service Agreement between DBE and CSD to better manage responsibilities and information flow.  <b>04 Apr 2019</b>	 Likelihood Impact	16	31-Mar-2020	Constant

Action no	Action description	Latest Note			Action owner	Latest Note Date	Due Date
SUR CB 003a	Navigation controls	Navigation is controlled by the Port of London Authority and navigation lights fixed to bridges. Paul Monaghan is an on-going member of the River Crossings Liaison Group and is currently pursuing them for further meeting dates following their change in Chair. Paul Monaghan updates CSD at the quarterly meetings as to any actions, activities, or change in the risk status of this item.			Nicholas Gill; Peter Young	01-Mar-2019	31-Mar-2020

## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>SUR CB 006</b> <b>City Bridges: - Wanton Damage / Terrorism</b>  <div> <div>Nov-2018</div> <div>Paul Wilkinson</div> </div>	<b>Cause:</b> Wanton Damage / Terrorism  <b>Event:</b> Structural damage to bridge/s  <b>Impact:</b> Instability in bridge structure , reputational damage, disruption to traffic, additional costs to repair / replace	<div> <div>Likelihood</div> <div>Impact</div> </div>	<div>16</div>	<p>The Comptroller and City Solicitor has registered the City of London as an interested party for the inquiry into the London Bridge incident. The organisation has been supporting this by providing correspondence as required.</p> <p>City Bridge Trust and Bridge House Estates are undertaking a governance review through an officer Task and Finish Group. The aspect of where risk ownership sits will be considered by this group in 2019.</p> <p>In the interim further discussions have taken place to put in place a Service Agreement between DBE and CSD to better manage responsibilities and information flow.</p> <p><b>01 Mar 2019</b></p>	<div> <div>Likelihood</div> <div>Impact</div> </div>	<div>12</div>	<div>31-Mar-2020</div>	<div> <div>Constant</div> </div>

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
SUR CB 006a	Counter Terrorism	Sequence of joint workshops were hosted by TFL over July. This involved TFL, the City Police, the MET Police and DBE. This investigated the risks associated with key bridges, with a different assessment made depending on the bridge. MET Police have yet to provide paperwork and are awaiting clearance to do so – will be assessed once received.. Temporary mitigation by the Metropolitan Police remains in place, but this is not full Hostile Vehicle Mitigation.	Nicholas Gill; Paul Monaghan; Peter Young	01-Mar-2019	31-Mar-2020
SUR CB 006b	Policing	The Bridge House Estate pay additional precept to the City of London Police to provide policing to the bridges.	Nicholas Gill; Paul Monaghan;	01-Mar-2019	31-Mar-2020

			Peter Young		
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## Appendix 3a

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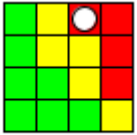
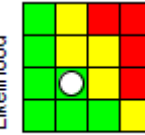

Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
SUR CB 007d	Tideway Tunnelling	The City's Engineer, Paul Monaghan is working with the Comptroller and City Solicitor through the Development Consent Order and negotiated protection for the river crossings and, in the case of Tower Bridge, reduced face loss. He and the engineering team are working with the planning lead, Ted Rayment, to ensure that these requirements are being met. Regular weekly, monthly and quarterly meetings take place with the respective parts of TTT. For support they have the existing commission with an external engineering consultant appointed for the inspection of river crossings.	Nicholas Gill; Peter Young	01-Mar-2019	31-Mar-2021

## Appendix 3a

SUR CB 007e	Monitoring & Works	Monitoring is on-going on the bridge sites to ensure that risks are managed. Monitoring at Tower Bridge has been in place for circa three years. Millennium Bridge has had its tensioning adjusted to account for any movement.	Paul Wilkinson	01-Mar-2019	31-Mar-2021
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## Appendix 3a

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
<b>TC TCO 05</b> <b>Customer Relationship Management System</b>  20-Nov-2015 John Barradell; Damian Hussbaum; Angela Roach	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 new platform is functional and undergoing bug-fixing by IT while users are being trained on the application and starting to manage their records. IT configuration of events is ongoing.  The new Head of Business Intelligence and Insight started on 29th March in the Business Intelligence Unit, which is running the SEEM function.  <b>01 Apr 2019</b>	 Likelihood Impact	4	30-Apr-2019	  Constant

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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
TCTCO05D	The Corporation has procured a new system tailored to the needs of the Contact Centre (“Firmstep”). We are now implementing the new system.	Risk to be downgraded once have signed off Events Management system - Due end of April 2019	Sam Collins	01-Apr-2019	30-Apr-2019
TCTCO05E	The Corporation has a procured a new platform (City Dynamics) and is configuring a new application tailored to the needs of strategic engagement and events management (SEEM) that will support compliance with new data protection law. The strategic engagement function will be implemented in early Summer, followed by the events management function in early Autumn. The solution for Strategic Engagement is currently undergoing System Testing and will be made available for UAT shortly.	<p>The new platform is functional and undergoing bug-fixing by IT while users are being trained on the application and starting to manage their records. IT configuration of events is ongoing.</p> <p>The new Head of Business Intelligence and Insight started on 29th March in the Business Intelligence Unit, which is running the SEEM function.</p>	Damian Nussbaum	01-Apr-2019	30-Apr-2019





























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## Top Red departmental risks - Review history by status



























Generated on: 25 April 2019











Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
BBC Buildgs 006	Ex Halls Electrical Condition	08-Feb-2019		16		12	25-Mar-2019	16		Likely	Major		Constant
							11-Feb-2019	16		Likely	Major		
							08-Feb-2019	32		Likely	Extreme		
BBC Commerce 003 Brexit	Impact of Brexit on the Movement of Talent, Technical and Production Staff and Temporary Movement of Cultural Goods	12-Dec-2018		16		12	01-Apr-2019	16		Likely	Major		Constant
							20-Mar-2019	16		Likely	Major		
							14-Mar-2019	16		Likely	Major		
							25-Feb-2019	16		Likely	Major		
							08-Feb-2019	16		Likely	Major		
BBC H&S 005	Failure to Deliver the Fire-Related Projects	06-Jul-2018		16		2	05-Mar-2019	16		Unlikely	Extreme		Constant
							05-Feb-2019	16		Unlikely	Extreme		
							09-Oct-2018	16		Unlikely	Extreme		
							06-Jul-2018	16		Unlikely	Extreme		
				16		4	17-Apr-2019	16		Likely	Major		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
CHB IT 026	Failure to commence CoLP IT Modernisation	01-Mar-2019					27-Mar-2019	16		Likely	Major		Constant
							25-Mar-2019	16		Likely	Major		
							05-Mar-2019	16		Likely	Major		
							01-Mar-2019	8		Likely	Serious		
CHB IT 027	IP Telephony and Call recording – Cessation of dependency services	01-Mar-2019		16		2	01-Mar-2019	16		Likely	Major		Constant
CHB IT 029	2020 Contract Planning and Procurement	01-Mar-2019		16		4	05-Mar-2019	16		Likely	Major		Increasing
							01-Mar-2019	12		Possible	Major		
CLF-012	Freemen's Estate Development Plan	15-Nov-2016		24		12	26-Mar-2019	24		Possible	Extreme		Constant
							12-Nov-2018	24		Possible	Extreme		
							04-Oct-2018	24		Possible	Extreme		
							04-Oct-2018	12		Possible	Major		
							04-Oct-2018	24		Possible	Extreme		
CLF-014	Political changes affecting country, City of London, and School	09-Jun-2017		16		4	06-Feb-2019	16		Likely	Major		Increasing
							12-May-2018	6		Possible	Serious		
							16-Jun-2017	12		Possible	Major		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
							09-Jun-2017	6		Possible	Serious		
GSMD SUS 004	Failure to mitigate against a potential fall in EU student numbers as a result of Brexit	03-Dec-2018		16		8	13-Mar-2019	16		Likely	Major		Constant
							26-Feb-2019	16		Likely	Major		
							25-Feb-2019	16		Likely	Major		
							31-Jan-2019	16		Likely	Major		
							11-Dec-2018	16		Likely	Major		
MAN CCC 002	Working at Height	28-Sep-2018		16		8	16-Apr-2019	16		Unlikely	Extreme		Decreasing
							28-Sep-2018	24		Possible	Extreme		
OSD 005	Pests and Diseases summary risk	30-Aug-2017		16		12	15-Apr-2019	16		Likely	Major		Increasing
							19-Mar-2019	12		Possible	Major		
							29-Jan-2019	12		Possible	Major		
							22-May-2018	12		Possible	Major		
							23-Mar-2018	16		Likely	Major		
OSD 007	Maintaining the City's water bodies summary risk	30-Aug-2017		16		8	19-Mar-2019	16		Unlikely	Extreme		Constant
							29-Jan-2019	16		Unlikely	Extreme		
							05-Dec-2018	16		Unlikely	Extreme		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
							29-Aug-2018	16		Unlikely	Extreme		
							22-May-2018	16		Unlikely	Extreme		
SUR CB 003	City Bridges: – Substantial vessel strikes	01-Nov-2018		16		16	04-Apr-2019	16		Unlikely	Extreme		Constant
							01-Mar-2019	16		Unlikely	Extreme		
							14-Dec-2018	16		Unlikely	Extreme		
							01-Nov-2018	16		Unlikely	Extreme		
							17-Aug-2018	16		Unlikely	Extreme		
SUR CB 006	City Bridges: – Wanton Damage / Terrorism	01-Nov-2018		16		12	01-Mar-2019	16		Likely	Major		Constant
							14-Dec-2018	16		Likely	Major		
							11-Oct-2018	16		Likely	Major		
							17-Aug-2018	16		Likely	Major		
							13-Jul-2018	16		Likely	Major		
SUR CB 007	City Bridges: – Tunnelling for the Thames Tideway Tunnel	01-Nov-2018		16		16	01-Mar-2019	16		Likely	Major		Constant
							14-Dec-2018	16		Likely	Major		
							12-Oct-2018	16		Likely	Major		
							17-Aug-2018	16		Likely	Major		
							13-Jul-2018	16		Likely	Major		

Code	Title	Creation Date	Current Risk Matrix	Current Risk Score	Target risk score rating	Target Risk Score	Recent Reviews	Risk Score	Historical Status	Likelihood Description	Impact Description	Current Risk Trend Icon	Trend
TC TCO 05	Customer Relationship Management System	20-Nov-2015		16		4	01-Apr-2019	16		Likely	Major		Constant
							05-Mar-2019	16		Likely	Major		
							01-Feb-2019	16		Likely	Major		
							08-Jan-2019	16		Likely	Major		
							07-Dec-2018	16		Likely	Major		

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## Information Management (CR29)

Report Author: Paul Dudley

Generated on: 08 April 2019



Rows are sorted by Risk Score

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
CR29 Information Management 08-Apr-2019	<p><b>Cause:</b> Lack of officer commitment and investment of the right resources into organisational information management systems and culture.</p> <p><b>Event:</b> The City Corporation's IM Strategy (2018-2023) is not fully and effectively implemented</p> <p><b>Effect:</b></p> <ul style="list-style-type: none"> <li>Not being able to use relevant information to draw insights and intelligence and support good decision-making</li> <li>Vulnerability to personal data and other information rights breaches and non-compliance with possible ICO fines or other legal action</li> </ul>	Likelihood  Impact	12	<p>The Information Management strategy has been agreed subject to a more detailed action plan and metrics to track performance.</p> <p>We need to ensure that the IM Strategy is now delivered through a series of actions and activities as detailed below. The actions identified below are Year 1 actions. Actions in subsequent years will be prioritised to ensure full implementation of the strategy.</p>	Likelihood  Impact	6	31-Mar-2023	
				08 Apr 2019				

## Appendix 4

Peter Kane	<ul style="list-style-type: none"> <li>Waste of resources storing information beyond usefulness</li> </ul>						Constant
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Action no	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR29a	Ensure that CoL has the necessary awareness, tools and, skills to manage information effectively	Work with the Head of Communications to communicate/raise awareness the IM Strategy and Policies. Provide training in SharePoint in preparation for migrating the Shared drives. Implement protective marking and information classification in CoL. Sharepoint to become the Corporate document management solution.	Sean Green	08-Apr-2019	30-Sep-2019
CR29b	Start the culture change by Integrating good information management practice into the Leadership and Management stand of the City of London Learning Academy	HR to work with the IT and the Corporate Strategy and Performance teams to identify the key skills required for good information management. HR to then develop the training to support this.  HR to review where in HR policies and procedures this can be integrated. HR to Work with the senior leadership team to develop a plan and then deliver key messages and communications on the importance, relevance and benefits of good information management.	Chrissie Morgan	08-Apr-2019	31-Mar-2020
CR29c	Ensure that CoL's information estate is safe, relevant, accurate, reliable, used and trusted.	Implement and communicate relevant IM policies and IM Security.  Develop and agree a Data Retention policy that links in with departmental retention schedules taking advice from the LMA.	Sean Green	08-Apr-2019	30-Jun-2019
CR29d	Ensure that CoL's derives real value and benefits from the use of information, data, analysis and modelling	IT to deliver the Business Intelligence Infrastructure to ensure that the Corporate Strategy and Performance team have the tools to develop business intelligence reports and analytics to support better decision making across CoL.	Sean Green/Kate Smith	08-Apr-2019	30-Aug-2019
CR29e	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	The Digital Services Task and Finish group to be established to provide governance and assurance that the strategy is being delivered. New IM Policies and compliance are already governed via the IM Governance Board.	Sean Green; Kate Smith	08-Apr-2019	30- May-2019
CR29f	Ensure officers can implement the data retention policy and data discovery requirements from GDPR	Put in place a new Data retention and discovery toolset to ensure we only retain and archive information in line with the agreed policy and retention schedule	Sean Green	08-Apr-2019	30-Nov-2019

<b>Committee(s)</b> Audit and Risk Management Committee	<b>Dated:</b> 7 May 2019
<b>Subject:</b> CR10: Adverse Political Developments	<b>Public</b>
<b>Report of:</b> The Remembrancer	<b>For Information</b>
<b>Report author:</b> Nigel Lefton, Remembrancer's	

## Summary

Corporate Risk CR10 relates to political developments that might damage the future status and functioning of the City Corporation. This report provides an update to Members on the risk, and the steps being taken to mitigate the risk.

**Recommendation:** Members are invited to note the report.

## Main Report

### Background

1. The City Remembrancer is responsible for Corporate Risk 10 (CR10) – adverse political developments undermining the effectiveness of the City of London Corporation. Adverse political developments may arise from causes from specific financial services issues to local government proposals, or may stem from general political hostility.
2. Current political issues or events that could give rise to adverse developments include the consequences for the financial sector of the referendum on the UK's membership of the EU and the growing possibility of a general election before the due date of 5 May 2022.
3. This report provides Members with an update of recent activity to mitigate risk.

### Current risk status

4. The risk status is currently amber. In reviewing this status, the effect of a number of political developments has been considered. These include the impact of the Brexit negotiations; issues about the way some parts of the financial sector operate; and wider party political developments at a national level. The Green Party is currently the only national party to be committed to the abolition of the City Corporation. In the result it is proposed that the risk status be maintained at amber.

## Current activity

5. Government legislation is examined and, where required to meet the City's needs or concerns, drafting issues are pursued with officials. Amendments to Bills are tabled as necessary in either House. Frequent contributions are made to the proceedings of the Commons' and Lords' Select Committees and regular briefings for debates are provided to MPs and Peers. This activity has two key purposes: to advocate policies and proposals reflecting the City Corporation's strategic outcomes and to engage at an early stage of the policy-making process. These steps help to mitigate the risk of adverse political developments.
6. Priority has been given to work on the Bills forming part of preparations for Brexit. These include the EU (Withdrawal) Act 2018, the Trade Bill, the Financial Services (Implementation of Legislation) Bill, the Agriculture Bill, the Immigration and Social Security Co-ordination (EU Withdrawal) Bill and the Taxation (Cross-Border Trade) Act 2018.
7. In addition to work on the above, the Office's legislative activity over the previous 12 months has included scrutiny of, and briefings on the Automated and Electric Vehicles Act 2018, the Offensive Weapons Bill, the Data Protection Act 2018, and the Counter-Terrorism and Border Security Act 2019.
8. The Office has also drafted provisions in a planned Emissions Reduction (Local Authorities in London) Bill to give local authorities powers to reduce emissions from combustion plant (boilers, generators, non-road mobile machinery and combined heat and power plant) and to increase the fine for the stationary idling of a vehicle. The proposals have been approved by London Councils and it is envisaged they will be introduced as a private member's Bill in the next parliamentary session. Provisions which may form the basis of future City Corporation promoted legislation on markets are under examination, with a view to the deposit of a Bill in November 2020.
9. The wide-ranging work of the Corporation has been evidenced through submissions to a number of select committee inquiries, including those on Global Britain, Women in Finance, Movement of People: Sports and Culture, the 25-Year Environment Plan, Trade with Australia and New Zealand, Post-Brexit UK-EU Relations, Economic Crime, the Bribery Act 2010, digital currencies, Brexit and Financial Services, Brexit and Scottish Trade, Modern Slavery, Trade with India, Trade with Latin America, Post-Brexit Food Safety, UK Trade in Services, and Road Safety.
10. In liaison with the Corporate Affairs team, and working closely with Departments across the Corporation, the Office has maintained an active programme of engagement with MPs and peers through briefings on City matters of interest to the City including Brexit 'cliff edge' risks for both financial and professional services and port health, international trade, air quality, immigration, skills, higher education, culture and green finance. The Office has also arranged a series of meetings for the Policy Chair, focusing predominantly on Brexit, with Select Committee Chairs, party groupings, senior backbenchers and MPs with a significant financial services employment in their constituency.

11. The Office has maintained its engagement with the GLA, briefing officers and Members of the London Assembly on matters of interest to the City, including the Plastic Free City initiative, the Bank on Safety scheme, 'no deal' Brexit risks to UK financial services, cooperation between the City of London Police and the Metropolitan Police, electric vehicle charging infrastructure, air pollution, and Culture Mile and the proposed Centre for Music. Evidence has been submitted to several consultations, including on the Mayoral Economic Development Strategy and the Mayoral Culture Strategy.
12. The Office also seeks to mitigate the corporate risk more generally by promoting the work of the City Corporation in supporting broader interests. These include cultural activities, open spaces, policing, housing and education. Regular contact is maintained with those who advise on and influence policy both at a national and at a local level, designed to ensure that the City's perspective is understood and acknowledged as early as possible in the policy development process. The Office works with the Economic Development Office, the Communications team and Mansion House, and with other departments depending on the nature of the issue.

## **Conclusion**

13. Members are asked to note the actions taken and activities under way to mitigate Corporate Risk 10.

Paul Double  
City Remembrancer

## REM – Corporate Risk 10

[illegible]

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR10a monitoring legislation	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 amendments tabled in Parliament as required. The legislative consequences of Britain leaving the EU as they may affect the Corporation and the City more generally as an international financial centre is a key priority.	Paul Double	01-Apr-2019	31-Mar-2020
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 including on Brexit, air quality, immigration, housing, planning, the creative industry, trade and investment, apprenticeships, economic crime, Fintech and broadband.	Paul Double	01-Apr-2019	31-Mar-2020
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 when an outcome on Brexit is agreed. 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	01-Apr-2019	31-Mar-2020

By virtue of paragraph(s) 3, 5 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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