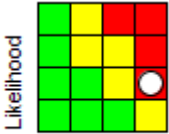
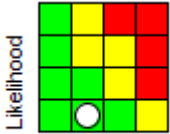



Top Red departmental risks - detailed report EXCLUDING COMPLETED ACTIONS

Report Author: Paul Dudley
Generated on: 31 August 2018



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
BBC H&S 005 Failure to Deliver the Fire Related Projects	<p>Cause: 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.</p> <p>Event: Failure to deliver the fire related projects</p> <p>Impact: 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</p>	 <p>Likelihood</p> <p>Impact</p>	16	Since the retirement of CR22 risk, we have created a new departmental risk H&S 005 for the project related works and created sub risks to align with the overall risk profile for the planned project works to complete the last phase of the FRAs outputs and gain full closure on the remaining actions that has been supported with CoL funding. The project scoping has now started and will be delivered by zones and risk profile. The final phases of the deliverables are now with the projects and the project process has started, the first phase of tendering is due to go out and is currently with procurement. This will then allow us to start the journey and appoint contractors and a fire safety consultant to support with the phases of the works throughout the zones and to complete the actions. We are going	 <p>Likelihood</p> <p>Impact</p>	2	01-Sep-2021	

Appendix 3 – Top red departmental risk register

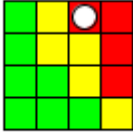
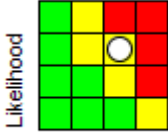

06-Jul-2018 Jonathon Poyner				to programme and try to deliver within 24 months, but realistically with the unknowns and current market for fire safety contractors following Grenfell is likely to have a significant impact on our deliverables, so realistically we could be looking at 36 months to complete. We do not intend to rush these works as we are looking at embracing the latest technologies and innovation to lead the way forward with fire safety following a large investment. This will set the scene and the standards we are going to work to for the future. 20 Aug 2018				Constant
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Action no	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.	Working in operational areas during core hours, ensuring suitable planning, coordination and control of contractor measures are in place to maintain daily work routines, keeping staff, contractors and visitors safe at all times throughout the phases. We will need to isolate areas and systems which needs effective planning and good CDM application by PD and PC to ensure all communication lines are clear, discussed, communicated, agreed with all stakeholders and planned well in advance. We envisage fulfilling the PD duties from the client side for knowledge of site, procedures and to conform CoL guidance/policies. Careful planning to avoid any loss of business for our tenants and the Barbican main. This could result in counter charges from our tenants if we do not manage this and engage with them to agree strategies for delivery within their respective areas. This scheduled plan is for works over 36 months.	Jonathon Poyner	31-Aug-2018	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.	Following Grenfell there is an appetite to amend, change, introduce new legislation. We need to carefully monitor all progress in this area as it could be significant to the works we undertake, firstly to be alerted timely should any changes affect our works that may require redesigns or changes in systems. A change in legislation is not normally retrospective but we must monitor how this can progress working closely with our CoL colleagues. The aspects and impacts of anything that may change remains quite high so regular CPD attendance and Institute of Fire Engineers regional meeting attendance and monitoring all public professional	Jonathon Poyner	31-Aug-2018	01-Sep-2021

Appendix 3 – Top red departmental risk register

		sites for communications. The aim is to deliver in 24 months, but realistically likely to be 36 months.			
BBC H&S 005c	Projects being delivered within the agreed time frames and agreed budgets.	Project funding for the works across the Barbican Centre has been estimated and funding provided by CoL; due to the scale of the multiple works stream of projects and the many unknowns such as asbestos in doors, door frame packers, routes for additional cabling that could require more funding, it is currently unknown due to the scale of the works and the size of the building. The timing following Grenfell has seen a spike in costs and availability fire safety systems, consultants and contractors. This could cause considerable price increases and limited availability of products and suppliers. This could delay projects due to availability and costs and needs to be monitored closely. The desire would be to complete within 24 months, however asbestos delays alone should we require notification and removal in areas could delay significantly, so potentially 36 months.	Jonathon Poyner	31-Aug-2018	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.	Ensure the contractors selected for the project works are fully accredited, have good site knowledge and experience and fulfil the PQQ criteria. Following the CoL control of contractors' guidance to try our best to ascertain finance standing to ensure that any fallout from Brexit won't affect them, which could cause significant problems with project phases over a long period. We are trying to engage companies that manufacture their own products in UK to simplify all the products we require for manufacturing, replacement, PPM and future upgrading and repairs over the coming years. This may not be the cheapest option, but we feel it will be the best option for us at the Centre in these times of unknown with Brexit. We have already met with some UK manufacturing companies and they have given us assurance of products and we feel are well placed to enhance our existing systems and take us to the next level. We need to ensure that only competent and trained operatives are on site working on individual projects and maintain diary and record attendance. Failure to do this could see our contractors breach CoL guidance on control of contractors and cause significant delays in work outputs. We are planning to complete projects within 24 months, but likely to take 36 months.	Jonathon Poyner	31-Aug-2018	01-Sep-2021
BBC H&S 005e	Delivering CIP following the outputs from FRAs and delivering the changes required to ensure PPMs.	Currently we are maintaining the standards achieved throughout the period following the rectification works following the Fire Risk Assessments, this involves appointments, restructure and ownership of fire safety related tasks with Continuous Improvement (CIP). We are looking, through innovation and latest technologies, to improve our fire safety systems throughout. Failure to maintain this could lead to enforcement and reputational damage. We are also in the process of upgrading CAFM with our service provider to ensure all PPM is recorded and readily available and new systems or changes are captured for compliance. All project upgrade/ replacement work will need to align to demonstrate and record PPM, this maybe by asset tagging, yet to be fully confirmed. Managing this correctly will allow us to successfully manage all PPM and demonstrate compliance and evidence for future audits. 24 months, likely to take 36 months for full completion.	Jonathon Poyner	31-Aug-2018	01-Sep-2021

Appendix 3 – Top red departmental risk register

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
OSD 006 Impact of development summary risk 30-Aug-2017 Colin Buttery	<p>This risk summaries the risks associated with housing and/or transport development across the Open Spaces Department.</p> <p>Cause: Pressure on housing and infrastructure in London and South East; failure to monitor planning applications and challenge them appropriately; challenge unsuccessful; lack of resources to employ specialist support or carry out necessary monitoring/research, lack of partnership working with Planning Authorities</p> <p>Event: Major development near an open space</p> <p>Impact: Increase in visitor numbers, permanent environmental damage to plants, landscape and wildlife, air and light pollution, ground compaction and resulting associated effects on tree and plant health. Wear and tear to sports pitches. Lack of budget to facilitate repairs, potential for encroachment.</p> <p>This risk is felt to be of departmental concern due to the high level of work required across the open space divisions to defend against the impact of development and the serious nature of the impact.</p> <p>The actions for this risk are the open actions from each of the divisional risk registers.</p>	 <p>Likelihood</p> <p>Impact</p>	16	Risk remains at red due to the possible impact of development across several sites. 29 Aug 2018	 <p>Likelihood</p> <p>Impact</p>	12	30-Apr-2020	 Constant


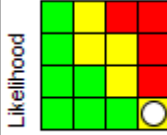

Action no	Description	Latest Note	Action owner	Latest Note Date	Due Date
OSD EF 010 a	Epping Forest DC local plan - Attend meetings and respond to consultation on the local plan so that can influence the content of the plan and the Memorandum of Understanding between EFDC and Natural England LB Redbridge core strategy and other LA actions plans - respond to any further consultation.	<p>Mitigation proposals have been tabled from us and we are awaiting the tariff decisions by local authorities. Negotiations and dialogue continues with EFDC and also with the London Boroughs of Redbridge and Waltham Forest local planning authorities – lpas).</p> <p>A key issue remains unresolved on Air Quality and the lpas have still not gathered sufficient evidence for an avoidance and mitigation strategy. Current highways proposals include the loss of Forest Land and so remain an existential threat to the Forest SAC.</p> <p>A number of planning applications have been objected to in each of these authorities and some progress has been made on this with EFDC.</p> <p>We are working with Natural England and seeking meetings with the two London Boroughs - which have yet to respond to our joint requests.</p>	Jeremy Dagley	23-Aug-2018	30-Apr-2020

Appendix 3 – Top red departmental risk register

		<p>The Visitor Survey evidence has now provided us with a 6.2km Zone of Influence which has been accepted by the 5 authorities that contributed financially to the Survey. Other authorities were appraised of this at a meeting of the SAC Mitigation Oversight Group on 25th July 2018. We (The Conservators) have tabled a full list of costed mitigation proposals amounting to a total of over £2.5M over 15 years. The local authorities are now considering how to set a tariff on developers in their districts/boroughs. We are also pressing for a SANGs tariff to be set as soon as possible.</p> <p>Currently Natural England's intervention and our objections to the Habitats Regulations Assessments for the Local Plans has resulted in a moratorium/non-determination of over 60 planning applications in the EFDC area and other authorities are following suit so as not to breach the Habitats Regulations 2017.</p>			
OSd EF 010 c	Forest transport strategy - Negotiate renewal with Essex County Council and extend to cover London Borough's	<p>The Forest Transport Strategy has been accepted as vital vehicle for any air quality (AQ) mitigation. However, the Habs Regs Assessment for the EFDC Local Plan is still being re-written as it was not adequate on AQ and the traffic modelling and highways proposals have been delayed further (having been promised in June 2018). Currently this key part of the Local Plan is 'unsound' in our view and we may have to object at the future Local Plan Examination in Public.</p> <p>An ongoing issue</p>	Jeremy Dagley	23-Aug-2018	30-Apr-2020
OSD NLOS 011 a	Maintain a close partnership with Planning Authorities. Supt and Officers in contact with the London Borough of Camden, Barnet and Haringey in regard to planning issues which may impact the open spaces.	Ongoing, division to make representation as necessary.	Richard Gentry	23-Aug-2018	31-Mar-2020
OSD NLOS 011 b	Respond to consultation on the local plans to help influence the content of the documents.	Ongoing. Response to planning issues as necessary. No change.	Richard Gentry	23-Aug-2018	31-Mar-2020
OSD NLOS 011 c	A Consultant is monitoring planning activity and will assist the Superintendent with specialist support in regard to resisting planning applications that impact on the Open Spaces.	Division continues to monitor planning issues.	Richard Gentry	23-Aug-2018	27-Jul-2020
OSD P&G 007 a	Attendance at meetings and respond to consultation on the local plans to help influence the content of the document.	Relationship with planning colleagues in the city continues - ongoing action.	Lucy Murphy; Martin Rodman; Jake Tibbets	29-Aug-2018	31-Mar-2020
OSD P&G 007 b	Maintain a close partnership with planning authorities including (but not limited to) Newham, Islington, Camden, and Tower Hamlets.	Ongoing risk action based on responding appropriately to relevant planning issues. Developments by Islington around Bunhill Fields are being monitored.		29-Aug-2018	31-Dec-2020

Appendix 3 – Top red departmental risk register

OSD TC 002 a	Inclusion in core strategy planning documents - where applicable Close partnership working with local planning authorities Active monitoring of planning applications with responses as appropriate All ongoing and/or as and when	Monitoring activity continues - ongoing action.	Hadyn Robson	23-Aug-2018	31-Mar-2020
OSD TC 002 b	Active monitoring of pollution where possible Active monitoring of environmental impacts - where possible Undertake research - where appropriate and where resources allow Ongoing	Ongoing action - monitoring of impact of visitors and other possible stressors continues.	Hadyn Robson	23-Aug-2018	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
OSD 007 Maintaining the City's water bodies summary risk 30-Aug-2017	This risk summaries the property maintenance risks across the Open Spaces Department. The City is responsible for a number of water bodies, some of which are classified as "Large Raised Reservoirs" under the provisions of the Reservoirs Act 1975 and the Flood & Water Management Act 2010. Failure to adequately manage and maintain the City's reservoirs and dams could result in leaks, dam collapse or breach. For some of the City's large raised reservoirs there is the potential for loss of life, damage to property and infrastructure in the event of dam collapse or breach, and the associated reputational damage. This risk is felt to be of departmental concern due to potential for serious consequences, the possibility of legislative change and the possibility that significant capital projects could be required. The actions for this risk are the open actions from each of the divisional risk registers.	 Likelihood Impact	16	Risk remains at red. Target date moved to 2022 to reflect planning process for works to the relevant water bodies, which include: - Hampstead Heath ponds - Five statutory large raised reservoirs at Epping Forest - Burnham Beeches ponds 29 Aug 2018	 Likelihood Impact	8	31-Mar-2022	 Constant

Action no	Description	Latest Note		Action owner	Latest Note Date	Due Date
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Appendix 3 – Top red departmental risk register

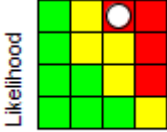
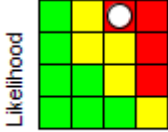
OSD EF 004 a	Statutory inspection visits by engineer - 6 monthly in May and October	Inspection completed June 2018. Next set of updates expected November 2018 after recommendations have been agreed.	Martin Newnham; Geoff Sinclair	13-Aug-2018	30-Apr-2020
OSD EF 004 b	Complete works on the Eagle ponds 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	29-Aug-2018	31-Dec-2018
OSD EF 004 c	Weekly inspection of reservoirs / dam. Review the use of penstock gates	Ongoing action.	Martin Newnham	29-Aug-2018	08-Apr-2020
OSD EF 004 e	Undertake scoping evaluations for Baldwins Pond and Birch Hall Park Pond	Ongoing action. Still awaiting further work by DBE.	Geoff Sinclair	23-Aug-2018	31-Dec-2018
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	23-Aug-2018	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	23-Aug-2018	31-Mar-2020

Appendix 3 – Top red departmental risk register

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Action no	Description	Latest Note	Action owner	Latest Note Date	Due Date
SUR SMT 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. Currently awaiting feedback from TFL from these sessions. Temporary mitigation by the Metropolitan Police remains in place, but this is not full Hostile Vehicle Mitigation.	Nicholas Gill; Ian Hughes; Paul Monaghan	17-Aug-2018	31-Mar-2019

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SUR SMT 007 City Bridges: - Tunnelling for the Thames Tideway Tunnel 19-Jun-2017 Paul Wilkinson	Cause: Tunnelling for the Thames Tideway Tunnel effects bridge structures Event: Bridge/s become inoperable or have reduced operability Impact: Closure, reputational damage, disruption to traffic, additional costs to repair / replace	 Likelihood Impact	16	The tunnelling is expected to conclude in 2019, and we will expect that this risk, should it not materialise, will diminish significantly from this time. Works are on-going presently (August 2018) near Blackfriars Bridge. Workshop hosted by CSD on 09/07 involving key leads from CSD, DBE, CBT and Chamberlains. This took a 'first principals' approach looking at our objectives relating to the City Bridges. Follow up meeting to be arranged to recast risks around agreed objectives. Service Agreement being developed to better aid communication between key departments – this will include maintenance, inspections and areas of concern. 17 Aug 2018	 Likelihood Impact	16	31-Mar-2021	Constant

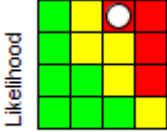


Action no	Description	Latest Note	Action owner	Latest Note Date	Due Date
SUR SMT 007a	Asset protection Agreements	Asset Protection Agreements (APA) were investigated by DBE and the Comptroller and City Solicitor. Advice received was that existing protections were better than that afforded by the APAs.	Paul Monaghan	17-Aug-2018	31-Mar-2019
SUT SMT 007d	Tideway Tunnelling	Meetings are held with the Thames Tideway Tunnelling company both weekly and monthly to understand progress and any emerging concerns.	Paul Monaghan	17-Aug-2018	31-Mar-2021

Appendix 3 – Top red departmental risk register

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
SUR SMT 008 City Bridges: - Substantial vessel strikes	<p>Cause: Substantial Vessel strike</p> <p>Event: Structural damage to bridge</p> <p>Impact: Instability in bridge structure leading to possible collapse. Death / injury, disruption of traffic,reputational damage, additional costs to repair / replace</p>	 Likelihood Impact	16	<p>Minor bridge strike at Tower Bridge in early August. Currently awaiting full inspection report.</p> <p>Workshop hosted by CSD on 09/07 involving key leads from CSD, DBE, CBT and Chamberlains. This took a ‘first principals’ approach looking at our objectives relating to the City Bridges. Follow up meeting to be arranged to recast risks around agreed objectives.</p> <p>Service Agreement being developed to better aid communication between key departments – this will include maintenance, inspections and areas of concern.</p>	 Likelihood Impact	16	31-Mar-2019	Constant
19-Jun-2017 Paul Wilkinson				17 Aug 2018				

Action no	Description	Latest Note	Action owner	Latest Note Date	Due Date
SUR SMT 008a	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; Paul Monaghan; Peter Young	17-Aug-2018	31-Mar-2019

Appendix 3 – Top red departmental risk register

Risk no, title, creation date, owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
TC TCO 05 Customer Relationship Management System 20-Nov-2015 John Barradell; Simon Murrells; Damian Nussbaum	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	16 Impact	The Corporation went live with the new Contact Centre CRM ("Firmstep") on 8th August with their high volume processes. The project will now look to add additional processes, including the ability to take payments in the coming weeks 30 Aug 2018	 Likelihood	4 Impact	31-May-2018	 Constant

Action no	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 and it should be operational by the end of July	The Corporation went live with the new Contact Centre CRM ("Firmstep") on 8th August with their high volume processes. The project will now look to add additional processes, including the ability to take payments in the coming weeks	Sam Collins	21-Aug-2018	31-Dec-2018
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.	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 and events functions will launch at the same point in the Autumn, with a gradual stair casing of the events solution. Both solutions are undertaking user testing before training begins.	Damian Nussbaum	31-Aug-2018	30-Oct-2018
TCTCO05F	A data retention and data migration approach have been proposed and are being considered by the City Dynamics governance group. Initial discussions took place last week but further consideration is required.	We are in the process migrating the data. An extract has been taken and is currently being cleansed externally by Experian. Once the cleansed data will be returned and we will migrate it to the new City Dynamics platform.	Simon Murrells	21-Aug-2018	30-Sep-2018

Appendix 3 – Top red departmental risk register

	<p>The decision has been taken not to migrate data to Firmstep, but to start with a clean dataset for the Contact Centre.</p>	<p>The City Occupiers Database forms part of this project. It will not be migrated with the CRM data but its cleansed data will be imported back into the CRM 2011. The Contact Centre and events teams will continue to use CRM 2011 until they are fully migrated to City Dynamics, (hopefully by the end of the year). Once all users are migrated to their respective systems, CRM 2011 will be decommissioned. .</p>			
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